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ABSTRACT

This report describes the purpose, funding, services, administration, and effectiveness of 145 programs administered by the U.S. Department of Education during fiscal year 1991; and briefly covers planned studies. It outlines 35 Office of Elementary and Secondary Education, 4 Office of Bilingual Education and Minority Languages Affairs, 36 Office of Special Education and Rehabilitative Services, 14 Office of Vocational and Adult Education, 37 Office of Postsecondary Education, and 19 Office of Educational Research and Improvement programs. "National Goals Addressed" subsections are included, where appropriate, concerning how the Department's programs help to implement the six National Education Goals. A few chapters contain "Performance Indicators" subsections. One major Department of Education initiative has been to seek ways to enhance accountability in U.S. education at all levels. This report summarizes evaluation results concerning what helps program participants increase their achievement or improve their performance. It also describes management improvement initiatives and reforms, and changes in priorities under the Department's accountability initiative. Data concerning the Chapter 1 Local Education Agency Program, the Chapter 1 Migrant Education Program, Impact Aid: Maintenance and Operations; mathematics and science education; bilingual education programs; national educational improvement partnerships; Allen J. Ellender fellowships; and student financial aid programs are highlighted. Numerous tables and references are included throughout the document. (RLC)

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ANNUAL EVALUATION REPORT

Fiscal Year 1991

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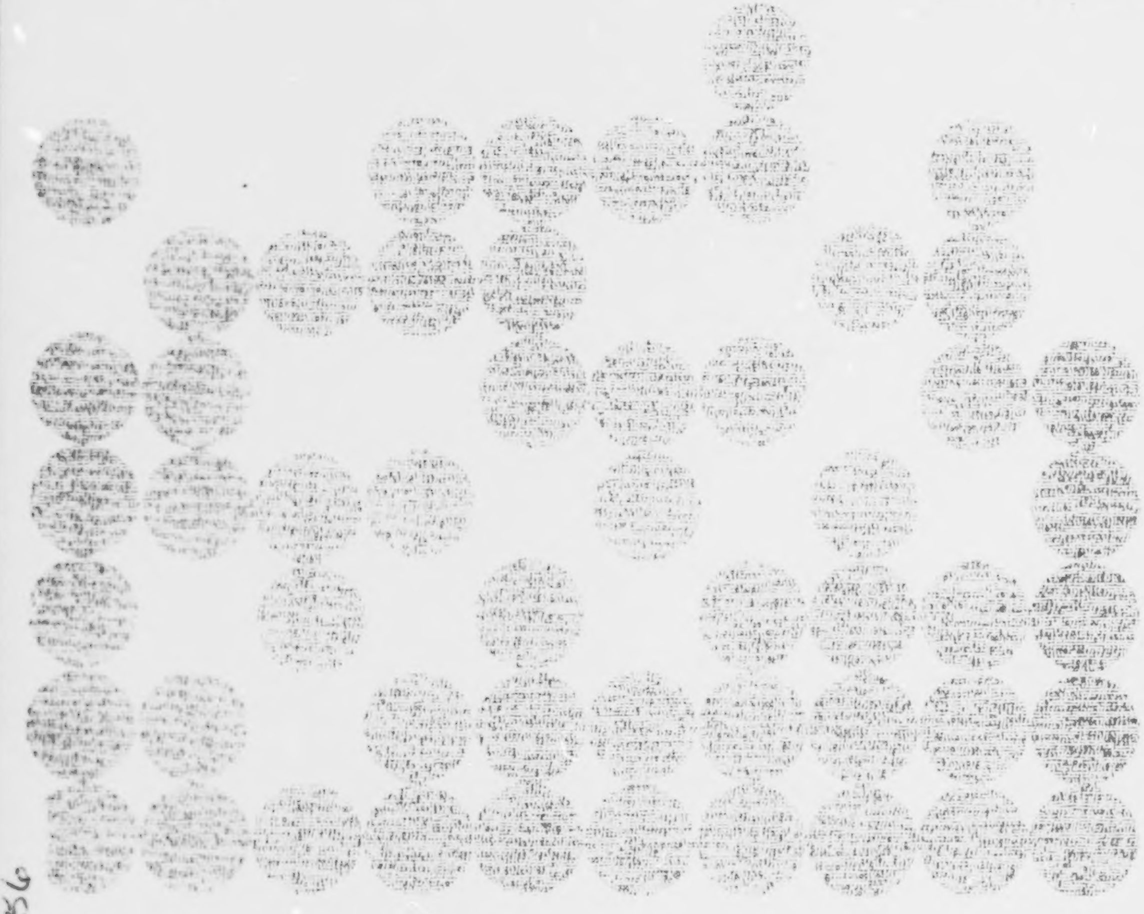

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ANNUAL EVALUATION REPORT

FISCAL YEAR 1991

LAMAR ALEXANDER, SECRETARY
U.S. DEPARTMENT OF EDUCATION

OFFICE OF POLICY AND PLANNING

FOREWORD

This is the 21st annual report to the Congress on federally funded education programs and the twelfth such report submitted by the Department of Education. The Annual Evaluation Report responds to the Congressional mandate in Section 417(a) and (b) of the General Education Provisions Act, as amended. This year, there is information on 145 programs administered by the Department during fiscal year 1991. The report covers the purpose, funding, services, administration, and effectiveness of those programs. It briefly describes planned studies. The information in the report was current as of the end of fiscal year 1991.

There is again a subsection in program chapters, where appropriate, on "National Goals Addressed." This subsection responds to the need for information on how the Department's programs are helping to implement the six National Goals for education adopted by the President and Governors in September 1989. Additional information on Departmental activities supporting implementation of the National Goals may be found in the "Highlights" section and the special index for the National Goals.

In a few chapters, there is a new subsection on "Performance Indicators." The Office of Policy and Planning, in collaboration with the Office of Human Resources and Administration and the Office of Management and Budget/Chief Financial Officer, is leading an effort to develop performance indicators for a pilot group of Departmental programs. We plan to expand that effort subsequently to a larger number of programs, and to present the results in future editions of this report.

One of the major initiatives of the Department of Education has been to seek ways to enhance accountability in American education at all levels. The Department has intensified its efforts to identify what works best in Federal education programs. This report, as did last year's, summarizes evaluation findings on what helps program participants to increase their achievement or improve their performance. It also describes management improvement initiatives and reforms, and changes in priorities under the accountability initiative within the Department. We hope that those evaluation findings and management initiatives will contribute to making Federal programs work even better.

I welcome your suggestions on making the Annual Evaluation Report more useful in your work.

Bruno V. Manno
Assistant Secretary for
Policy and Planning

ACKNOWLEDGMENTS

In fiscal year 1991, the Planning and Evaluation Service (PES) in the Office of Policy and Planning continued the effort to improve the technical and editorial quality of the Annual Evaluation Report. Edward Glassman was again responsible for managing report preparation, with support from Barbara Murphy. Division Directors Valena Plisko, Ricky Takai, and Maureen McLaughlin, and Acting Division Director Robert Berls, reviewed all chapters on appropriate programs and prepared the "Highlights" Section. All analysts in PES contributed through writing and revising report chapters. Secretaries Brenda Long, Ann Nawaz, Sandy Wood, Yvonne Briscoe and Angela Clarke, typed numerous drafts of report chapters and prepared the final camera-ready copy for printing. Each program office helped with comments on draft chapters about its own programs. The Budget Service in the Office of Management and Budget/Chief Financial Officer, the Office of General Counsel, and the Office of Legislation and Congressional Affairs, made valuable corrections in draft materials for the entire report. The Office of Public Affairs did the technical editing and prepared the index to the report. Public Affairs also prepared the special index for the National Goals adopted by the President and Governors.

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HIGHLIGHTS OF FY 1991 EVALUATION FINDINGS

Chapter 1 Local Education Agency Program (Chapter 101)

Chapter 1 provides financial assistance to local education agencies (LEAs) to meet the special needs of educationally deprived children who live in areas with high concentrations of children from low-income families. The 1988 Hawkins-Stafford amendments seek to improve further the educational opportunities of educationally deprived children by helping them succeed in their regular school program, attain grade-level proficiency, and improve achievement in basic and more advanced skills.

Targeting and Participation

While Chapter 1 disproportionately serves poor children, almost all districts and more than two-thirds of public elementary schools participate in the program. At the same time, many poor and low-performing children go unserved.

- According to nationally representative data from the Prospects study, half of the children in high-poverty schools (with concentrations of 60 percent to 100 percent free or reduced-price lunch) and who score at the 40th percentile or below on CTBS 4 reading tests do not receive Chapter 1 services.

- Over the past 12 years, funding changes in inflation-adjusted dollars have been reflected in changes in staffing and in the number of participants. Chapter 1 staffing (both teachers and aides) was at a program low in 1986. Though staffing has increased since then, it still remains well below pre-1981 levels.

- Chapter 1 contains a cost-of-education factor designed to adjust for differential costs for schooling across States. The inclusion of the cost-of-education factor (per pupil expenditure) in the Chapter 1 formula results in a decrease of 17 percent in aid to the lowest-spending States and provides 24 percent more aid to the highest-spending States.

Program Administration

When Congress passed the program improvement requirements in Chapter 1, the mandate for both academic standards and accountability represented the cutting edge of education reform. However, Congressional intentions were undercut by a reticence to act and problems of implementation at the State and local levels.

- In school year 1989-90, a majority of States (39) used the minimal achievement standard established in the Chapter 1 regulations (no gain or a loss in normal curve equivalents) to determine whether schools are in need of program improvement. These standards are considerably lower than national averages for the Chapter 1 program. Most districts followed the lead of their States. Thus, schools are identified for program improvement only if students make no achievement gains or actually show a decline in their achievement. In school year 1991-92, 27 States still used the minimum achievement standard established in the Federal regulations, but 14 of these States also required the use of other desired outcomes in identifying schools for program improvement.

- State education agencies (SEAs) reported that approximately half of the schools identified for program improvement "test out" after one year before implementation of their improvement plan.

Program Services

Chapter 1 remains primarily a reading and math program for elementary schoolchildren. Eighty-two percent of districts offered limited pull-out programs in 1990-91. There has been an almost 50 percent increase in the number of districts offering in-class instruction (62 percent in 1990-91 versus 37 percent in 1985-86). Between the 1989-90 and 1991-92 school years, there was a 233 percent increase in the number of schools participating in schoolwide projects. Still, schoolwide projects account for only about 4 percent of all Chapter 1 schools. Extended learning time opportunities were available in 9 percent of the Chapter 1 districts in the 1990-91 school year. Typically, Chapter 1 instruction is provided in small groups of students and focuses primarily on basic skills. However, instruction for Chapter 1 students can be disjointed and inconsistent in its focus.

- In school year 1991-92, the median number of students served in Chapter 1 was six, up from a median of five students estimated in the last assessment. Services were typically provided for about 40 minutes a day, five days a week. These findings are about five to 10 minutes a day more than the median estimates reported in the 1987 National Assessment of Chapter 1 for reading and math, respectively.

- Schools are relying more and more on the use of Chapter 1 instructional aides to deliver services. Unfortunately, aides are often academically unprepared to assist teachers with anything other than basic skills drill and practice.

- The largest growth in parent involvement activities since the last assessment of Chapter 1 has been the dissemination of home-based education activities to reinforce classroom instruction.

Program Outcomes

In 1988-89, gains were reported in all grade levels for Chapter 1 students tested in reading and math on an annual test cycle (fall-fall or spring-spring). However, mandated State-reported data probably overstate the gains.

- For Chapter 1 students tested in reading on an annual test cycle, gains were reported in all grades, with a high of 5 percentile points in grades two, three, and four and a low of 1 percentile point in grade 12. Overall, the largest gains were in grades two through six.

- For Chapter 1 students tested in mathematics on an annual test cycle, gains were reported in all grades, ranging from 11 percentile points in grade two to 1 percentile point in 12th grade. The largest gains were in grades two through six.

Chapter 1 Migrant Education Program (Chapter 102)

The Migrant Education Program (MEP) provides financial assistance to State education agencies (SEAs) to establish and improve programs to meet the special education needs of migratory children of migratory agricultural workers or fishermen and to improve the interstate and intrastate coordination activities required of State and local migrant education programs funded under Chapter 1. It also provides financial assistance to SEAs or SEA consortia to improve the educational opportunities of migrant preschool children and parents through the integration of early childhood education and adult education into a unified program.

Targeting and Participation

- The Migrant Education Program (MEP) served about 80 percent of all migrant students enrolled in school during the regular school year in 1990.

- The population of students enrolled in the Migrant Education Program is forecasted to increase from an estimated 597,000 in 1990 to 790,000 in 2000. This is mainly attributable to the 1988 legislative amendments that changed the funding formula to offer incentives for serving preschoolers and 18- to 21-year-olds and to increased recruitment activities in some States.

- Migrant students exhibit marked education-related disadvantages. A 1990 study showed that more than 80 percent were eligible for free or reduced-price meals; more than one-third were over-age for their grade; and 47 percent were eligible for the regular Chapter 1 program. Their teachers reported that 40 percent had oral English-language deficiencies large enough so as to interfere with their school work.

- Recruitment is more active in projects with diminishing numbers of migrant students, according to 1990 site visits. Over 65 percent of MEP projects reported making extensive efforts to identify and recruit new students.

Program Administration

- MEP projects are expanding to include preschool and post-high school age students in response to 1988 legislative changes. About one-half of the regular school year projects and nearly three-fourths of the summer-term projects reported offering MEP services to preschool children in 1990. In addition, about one-half of both regular year and the summer-term projects reported offering MEP services to students ages 18 to 21.

- Most migrant students do not receive any supplemental services other than MEP. More than 70 percent of regular school year students reportedly did not receive instructional services from any compensatory program other than MEP. Approximately 24 percent of regular school year students received regular Chapter 1 instruction.

- Although migrant students are staying in school longer, there are indications that their performance on standardized tests remains very low. The dropout rate for migrant students has declined from about 90 percent as reported in the early 1970s to between 45 percent and 64 percent in 1987. However, MEP students score poorly compared with other students on standardized tests. Post-test performance of MEP students generally fell in the second quartile in reading and mathematics in 1988-89, with reading scores being lower than mathematics.

Impact Aid: Maintenance and Operations (Chapter 109)

Impact Aid compensates local school districts for burdens placed on their resources by Federal activity, either through Federal tax-exempt ownership of property in the district (section 2 payments), or through the addition of "Federally connected children" to the number of students that it would ordinarily need to educate (section 3 payments). Federally connected children include "a" children, who both live on and have parents who work on Federal property, and "b" children, who either live on Federal property or have parents who work on it. Included in these categories are children living on or having parents who work on Indian lands, and children who have a parent who is on active duty in the uniformed services.

A 1988 study examined the distribution of Impact Aid funds to districts that differ in size, wealth, and spending, as measured by student enrollment, property valuation per pupil, and current operating expenditures per pupil. The study found that, in general, a larger than expected proportion of Impact Aid went to districts that were small, low in property wealth, or high in per-pupil expenditures.

Impact Aid is the largest single source of federal support for local education agencies serving Native American students, yet there have been complaints that the funds have not benefitted these students. According to testimony at 1990 hearings for the Indian Nations At Risk study, some school districts are not complying with the spirit of program requirements that districts involve tribal officials and parents of Indian children in the planning and implementation of education programs assisted with Impact Aid funds generated by Indian children. For example, there was testimony that districts scheduled meetings with Indian parents and communities at inaccessible times and places, did not provide timely notice of meetings, only solicited input in a perfunctory way, disregarded tribal views and recommendations, made ineffective use of funds, and failed to be accountable.

Mathematics and Science Education (Chapters 126 and 613)

The Dwight D. Eisenhower Mathematics and Science Education State Grant Program provides financial assistance to State education agencies for elementary and secondary education and higher education, and to local education agencies, institutions of higher education, Territories, and the Bureau of Indian Affairs to improve the skills of teachers and the quality of instruction in mathematics and science in public and private elementary and secondary schools.

The program supports preservice and inservice training and retraining of teachers and other school personnel in the fields of math and science at the elementary and secondary levels.

- More than 90 percent of all LEAs and approximately 1,500 institutions of higher education have participated in the program.
- In most States, the allocation to districts amounts to an average of about $30 per teacher. Districts typically do not support high-intensity training. The average (median) amount of training that the program provides per teacher in district-supported projects is six hours. Higher education-supported projects typically offer teachers longer training experiences, with an average (median) of 60 hours per teacher.
- Statutory changes in 1990 require that districts receiving less than $6,000 participate in a consortium with at least one other district. All districts are required to use funds in excess of the fiscal 1990 amount to train elementary and middle school teachers.

Bilingual Education Programs--Part A (Chapter 201)

Federal bilingual education programs assist local education agencies and other eligible grantees in the development and support of instructional programs for students with limited English proficiency (LEP).

Because definitions of limited English proficiency and funding mechanisms vary among local and State education agencies, it is not known exactly how many eligible students there are, how much is spent on them, or how many are served. Despite these uncertainties, however, we know that Title VII serves only a fraction of the total number of eligible students served nationwide, and contributes only a fraction of the nation's total expenditure on bilingual education programs and services.

Targeting and Participation

- Title VII serves 310,000, or approximately 14 percent, of the 2.2 million students identified by States as limited English proficient. In 1988, Title VII served approximately 13 percent of the 1.7 million students estimated by the Department to be limited-English-proficient.

- Although limited-English-proficiency alone cannot be the basis for participation in Chapter 1, there are more LEP students served through Chapter 1 than through any other Federal program, including Title VII (Bilingual Education). A Chapter 1 survey taken in 1984 produced an estimated 530,000 Language Minority/LEP students receiving Chapter 1 ESL services.

- Assessment instruments used to identify LEP and Chapter 1 students for eligibility are, at a very practical level, indistinguishable. For example, a low score on a test of English reading and writing could identify a student as eligible for Chapter 1 and also other language services.

Program Administration

The three-year funding limit directly affects the capacity of a local project to continue services and programs. The 25 percent cap on Special Alternative Instructional Programs (SAIP) has had no practical effect up to now. Limits on the amount of time students can remain in programs may not reflect the complexity and variation in language acquisition among different children.

- A study of 500 Title VII projects found that anywhere from 39 percent to 68 percent of former Title VII services were maintained with local funds after Title VII funding ended. The types of services most often continued were collection and/or purchases of LEP instructional materials, services of classroom aides or tutors, and assessment and placement of LEP students. The types of services most often discontinued were the services of project directors and coordinators, the services or resource staff, inservice for faculty, and parent training.

Services

- Contrary to expectations, the amount of time LEP students remain in immersion strategy, early-exit, and late-exit programs is about the same. In theory, both immersion and early-exit programs call for mainstreaming within two to three years. However, over two-thirds of the students in the immersion strategy and over three-fourths of the early-exit students are not mainstreamed after four years in their respective bilingual programs.

- LEP students in either immersion strategy, early-exit, or late-exit programs improve their skills in English language and reading, and mathematics, as fast or faster than the norming population.

- A passive learning environment characterizes classrooms across all programs, limiting opportunities to produce and develop language. Students produce language only when working directly with a teacher and then only in response to teacher initiations. Teacher questions are typically low-level requests for simple information recall.

- More parents of late-exit and early-exit students than parents of immersion-strategy students help with or monitor their children's homework.

Educational Improvement Partnerships -- National Programs

Inexpensive Book Distribution (Chapter 126)

The program supports and promotes the establishment of reading motivation programs, including the distribution of inexpensive books to students in order to encourage students to learn to read. Reading Is Fundamental, Inc., (RIF), a nonprofit organization, administers the program. Federal funds accounted for 81 percent of revenues to the national RIF office in FY 1990.

- Although the number of children reached by the program is commensurate with its small size, there are marked differences by location. Federally funded projects serve 5 percent of all school-age children across the country. The highest proportion of school-age children served, 68 percent, is in the District of Columbia, where the program originated, followed by Vermont at 16 percent. The lowest proportions of school-age children are served by Federally funded projects in Georgia, Nebraska, and Nevada (1 percent).
- Information is very limited on whether the Inexpensive Book Distribution Program is filling an otherwise unmet need.
- Ninety-nine percent of staff operating Inexpensive Book Distribution projects are unpaid volunteers, which keeps operational costs low.

Allen J. Ellender Fellowships (Chapter 111)

The fellowships make a grant to the Close Up Foundation of Washington, D.C., for financial assistance to economically disadvantaged secondary school students and their teachers and economically disadvantaged older Americans and recent immigrants, to increase their understanding of the Federal Government.

While the Close Up Foundation has, since its inception, served low-income students, it has in recent years undertaken specific initiatives to reach "at-risk" students, such as low-income students; the socially disadvantaged; recent immigrants; Native Americans; inner-city youths; the geographically isolated; and the hearing, visually, or physically impaired. Close Up estimates that at least one-third of its participating schools have a student population with significant numbers of at-risk students.

- The 66 percent increase in Ellender funds from $2.4 million in 1988 to $4.3 million in 1992 has not been matched by a corresponding increase in the number of fellowship recipients or total participants.

- The Department of Education plays a relatively passive role in monitoring the grant, with the Close Up Foundation administering the program.

- The costs of the Close Up Foundation's Washington Program for High School Students and Educators are similar to costs of other civic education programs that bring students to Washington, D.C. Costs for tuition only for the 1991-92 program year were $698 per participant.

- The amount of fellowship funds going to teachers is twice as much as the amount going to students in the Washington Program for High School Students and Educators.

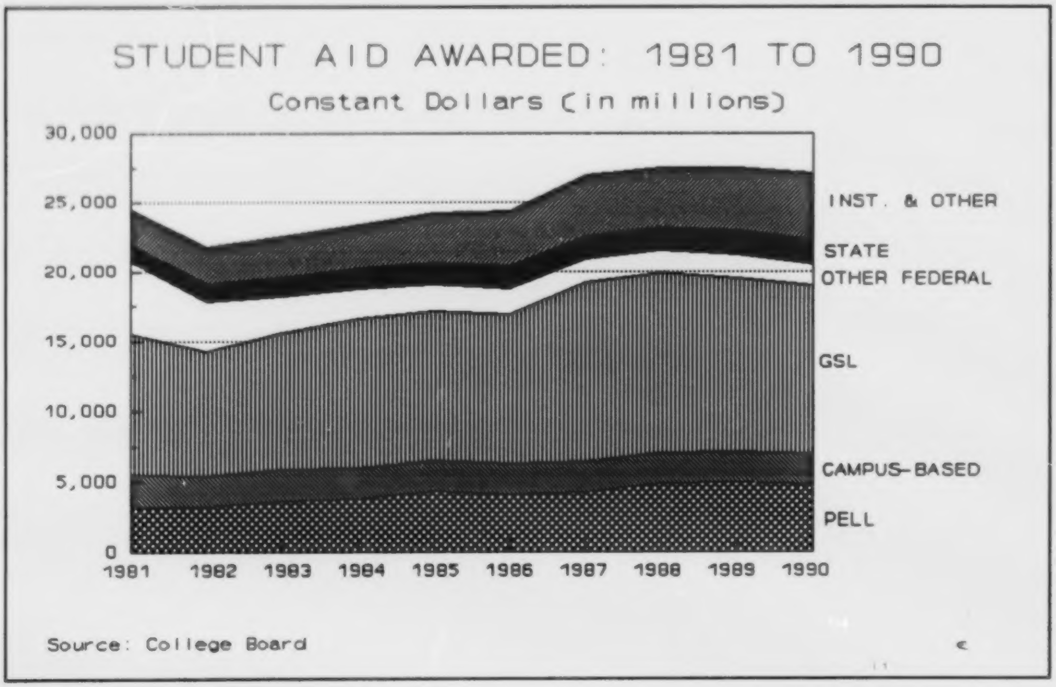
Student Financial Aid Programs (Chapters 501-507)

During academic year 1990-91, almost $28 billion in aid was provided to help students attend postsecondary institutions. These funds were provided by Federal and State government and by private sources, for the most part postsecondary institutions. The Federal government was the largest single source of aid, funding approximately three-quarters of the total.

As shown in Figure 1, overall student aid has grown relatively slowly in real terms since 1981, increasing 10 percent in constant dollars. The increase was greatest for aid provided by institutions and other sources (98 percent). State aid also increased rapidly--43 percent in constant dollars over the period.

Total Federal aid stayed constant in real terms over the period but there was a dramatic shift in the source of this aid. Aid available to the general public (referred to as Title IV aid)--Pell Grants, Campus-Based Aid, and Guaranteed Loans--increased 23 percent in constant dollars while, due to changes in the law, specially directed aid--social security and veterans benefits--fell over 70 percent in constant dollars.

FIGURE 1



Source: College Board

Title IV aid is directed at providing needy students with financial help in attending college. One would expect, therefore, that poorer students would be much more likely to receive Title IV aid. As shown in Table 1, data from the recently released 1990 National Postsecondary Student Aid Study (NPSAS) reveals that this is the case:

- Sixty-five percent of dependent undergraduate students with family incomes below $10,000 participated in the Title IV programs as compared to 16.4 percent of dependent students with family incomes of $30,000 and above. Among independent undergraduates, 50.6 percent of those with incomes under $10,000 received Title IV aid compared to 17.8 percent of those with incomes of $10,000 and over.

Table 1 also reveals that slightly over one-quarter of all students received Title IV aid during 1989-90. However, participation differed greatly depending on the type of school the student was enrolled in and whether the student was enrolled part-time or full-time. Specifically:

- Students at proprietary schools were much more likely to receive Title IV aid. Almost three-fourths of proprietary school students received Title IV aid compared to less than 40 percent of students enrolled in any other type of school. This pattern was found for both independent and dependent students and at different income levels.

- Full-time students were four times as likely to receive Title IV aid as part-time students (42.2 percent compared to 10.7 percent).

TABLE 1

PERCENTAGE OF STUDENTS PARTICIPATING IN THE TITLE IV STUDENT AID PROGRAMS

		INST. TYPE				STATUS	
	ALL	2-YR. PUB.	4-YR. PUB.	PRIV.	PROP.	FULL-TIME	PART-TIME
ALL	27.3	14.8	25.9	36.5	74.3	42.2	10.7
GRADUATE	17.1	NA	12.9	23.6	61.4	33.7	5.7
UNDERGRADUATE	28.8	14.8	29.5	40.8	74.4	43.1	11.7
DEPENDENT*	28.7	13.8	27.9	43.8	65.9	34.8	11.7
INCOME							
UNDER $10,000	65.0	47.5	68.2	73.6	86.1	73.4	39.8
$10,000-$29,999	41.6	17.9	46.2	64.8	74.1	52.2	13.4
$30,000 & OVER	16.4	4.9	15.0	30.7	44.8	20.2	5.6
INDEPENDENT*	29.0	15.5	32.6	36.3	78.6	59.0	11.7
INCOME							
UNDER $10,000	50.6	33.0	50.0	59.8	85.2	67.4	26.9
$10,000 & OVER	17.8	9.1	20.4	24.7	70.0	48.8	7.4

* Undergraduates only

Source: 1990 National Postsecondary Student Aid Study

Another way to evaluate the targeting of Federal aid is to analyze the percentage of aid going to different income groups. Data from NPSAS (see figure 2) reveals that Title IV aid is well- targeted on lower-income students:

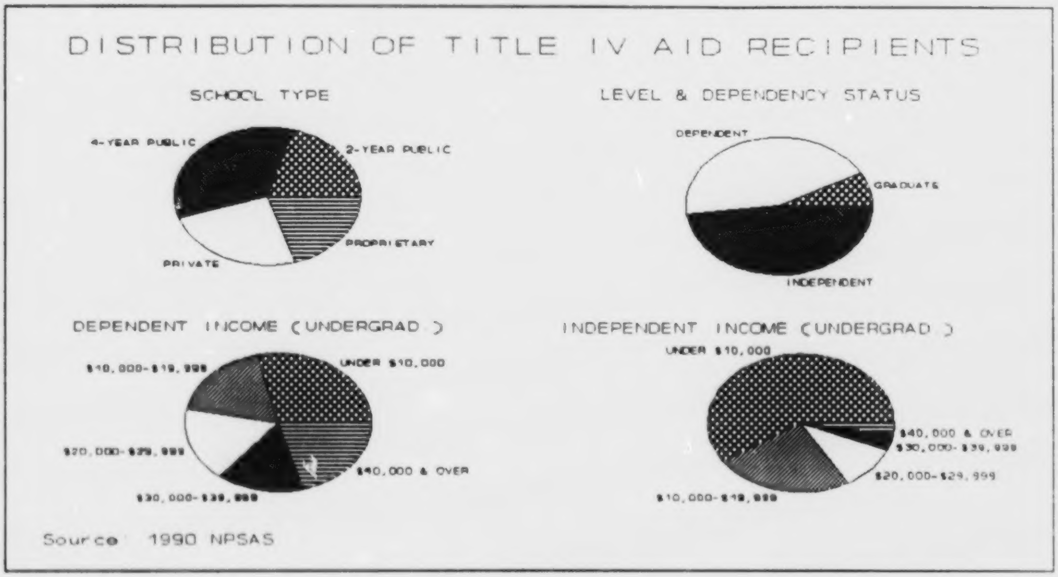
- Twenty-eight percent of undergraduate dependent Title IV aid recipients had family incomes of less than $10,000 with 64 percent having incomes below $30,000. Among independent undergraduates receiving Title IV aid, almost 60 percent had incomes of under $10,000. However, 21 percent of dependent Title IV aid recipients had incomes of $40,000 and over. Only six percent of independent Title IV aid recipients had incomes of $30,000 and over.

Figure 2 also reveals the percentage of Title IV aid recipients by school type and level and dependency status:

- More Title IV aid recipients attended four-year public institutions (34.2 percent) than any other type. Title IV aid recipients were relatively equally divided among the other types of schools.

- Graduate students comprised a small proportion of Title IV aid recipients (7.8 percent). Among undergraduates, independent students comprised a majority of the recipients (52.1 percent).

FIGURE 2



Source 1990 NPSAS

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Student Loan Defaults

Loan default volume and collections on defaulted loans continued to rise in 1991:

- For FY 1991, total default costs were $3.2 billion, an increase of approximately $750 million over FY 1990.

- Collections increased nearly $200 million from $871 million in FY 1990 to almost $1.1 billion in FY 1991. However, as of September 30, 1991 there was an estimated $11 billion in outstanding defaults remaining uncollected.

The Department of Education has implemented regulations that would withdraw elgibility to participate in the GSL program from institutions with a cohort default rate of 35 percent or greater for three consecutive fiscal years. As of September 30, 1991, 178 schools had been identified as subject to elimination from the GSL program. Appeals were made by 96 schools and all but 78 were rejected. The remaining 18 appeals were still under review.

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OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

EDUCATION OF DISADVANTAGED CHILDREN (CHAPTER 1, ESEA)
FORMULA GRANTS TO LOCAL EDUCATION AGENCIES
(CFDA No. 84.010)

I. PROGRAM PROFILE

Legislation: Chapter 1 of Title I of the Elementary and Secondary Education Act of 1965, as amended in the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297 (expires September 30, 1993).

Purpose: Chapter 1 provides financial assistance to local education agencies (LEAs) to meet the special needs of educationally deprived children who live in areas with high concentrations of children from low-income families. The 1988 Hawkins-Stafford amendments seek to improve further the educational opportunities of educationally deprived children by helping them succeed in their regular school program, attain grade-level proficiency, and improve achievement in basic and more advanced skills.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$1,015,153,000	1985	$3,200,000,000
1970	1,219,166,000	1986	3,062,400,000
1975	1,588,200,000	1987	3,453,500,000
1980	2,731,682,000	1988	3,829,600,000
1981	2,611,387,000	1989	4,026,100,000
1982	2,562,753,000	1990	4,768,258,000
1983	2,727,588,000	1991	5,557,677,000
1984	3,003,680,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Services provided by Chapter 1 are designed to help students succeed in the regular school program, attain grade-level proficiency, and improve achievement in basic and more advanced skills (Goals 2, 3, 4, and 5). In recent years the program office has emphasized increasing participation and services at the kindergarten and prekindergarten levels (Goal 1).

Population Targeting

In school year 1989-90, Chapter 1 served about 5.3 million children; 94 percent were enrolled in public schools. Chapter 1 participation is concentrated primarily (72 percent) in the elementary grades. In terms of racial/ethnic classification, 42 percent of participants are white, 28 percent are black, 26 percent are Hispanic, and the remaining 5 percent are American Indian/Alaskan Native, or Asian/Pacific Islander. There has been a small but steady increase in the percent of Hispanic participants since 1985-86 with a concomitant decline in white participants over the same time period (III.1).

Based on data from the 1987-88 school year data collection of the Schools and Staffing Survey, approximately 95 percent of all public school districts provide Chapter 1 services, including 85 percent of the school districts in which no more than 1 in 10 students is eligible for free or reduced-price lunch. Virtually all of the very needy districts - those in which more than half of the students qualified for free or reduced-price lunch - received Chapter 1 funds, and while these districts accounted for only 16 percent of the Chapter 1 districts, they served about 38 percent of the public school Chapter 1 students (III.2).

Nationwide, about 60 percent of public schools and 20 percent of non-public schools enroll students who are served in Chapter 1 programs. Public schools with high concentrations of poor children are more likely to have Chapter 1 programs than are schools with small percentages of poor students. Nevertheless, a large proportion of non-needy schools provide Chapter 1 services: 45 percent of the least needy elementary schools are Chapter 1 schools; the corresponding figures for middle/junior high schools and for senior high schools are 31 percent and 25 percent, respectively. These "least needy" schools are those in which no more than 1 in every 10 students is eligible for free or reduced-price lunch.

The Chapter 1 Implementation Study, in its interim report (III.3), noted these findings for school year 1990-91:

- Chapter 1 serves one-quarter of all preschools and kindergartens, three-quarters of all elementary schools, and two-fifths of secondary schools serving grades 7-12.
- The distribution of Chapter 1 students compared with all students by district size is basically equivalent, with a somewhat higher proportion of Chapter 1 students

found in the larger districts. While 35 percent of Chapter 1 students are in the largest districts, only 28 percent of all students attend school there.

- The number of public school students in Chapter 1 shows a predominance of enrollments in urban areas (38 percent) and rural areas (35 percent), with the smallest proportion in suburban areas (27 percent). In urban school districts, the enrollment among all students was greater than that of Chapter 1 students, while in rural districts, the reverse was true.

- A larger proportion (45 percent) of Chapter 1 students is found in the highest poverty quartile (21 percent poor and higher) districts.

Services

In 1988-89, more than 70 percent of all Chapter 1 participants received reading instruction, and 46 percent received mathematics instruction. Twenty-one percent received other language arts instruction and 14 percent received other instructional services (III.1).

Key findings about program services from the interim report of the Chapter 1 Implementation Study (III.3) for the school year 1990-91 are as follows:

- Chapter 1 is primarily an elementary school program offering instruction in reading and mathematics. In the elementary grades, although Chapter 1 continues its focus as a supplemental reading program, the mathematics segment is substantial.

- More than 90 percent of districts offered reading in the elementary grades and 66 percent offered mathematics. At the middle school and junior high school levels, reading and mathematics are offered in almost the same proportions (41 percent and 35 percent, respectively). Where high school programs are offered, similar proportions offered reading and mathematics (14 percent and 10 percent, respectively).

- Service delivery models remain traditional with 82 percent of districts offering programs with limited pullout instruction in 1990-91. There has been a 67 percent increase in the number of districts offering in-class instruction (62 percent in 1990-91 versus 37 percent in 1985-86). Almost one-fourth of districts offered extended pullout programs, and 12 percent offered replacement projects.

- Districts also reported using add-on instructional models. Nine percent of the districts offered add-on projects during the regular school year, and 11 percent offered summer add-on projects. Furthermore, 4 percent of districts offered schoolwide projects.

- Chapter 1 instruction in reading/language arts and in mathematics is typically provided for about 40 minutes a day, five days a week in the elementary grades. These findings are about five to ten minutes a day more than the median estimate of 35 and 30 minutes a day (for reading and mathematics, respectively) estimated in the 1987 National Assessment of Chapter 1.

The Chapter 1 Implementation Study's interim report (III.3) that described the staffing characteristics of Chapter 1 programs found:

- An increase in the number of full-time equivalent (FTE) Chapter 1 teachers and aides reported by districts since 1985-86 (4.4 to 5.0 teachers and 4.3 to 9 aides, respectively). These increases may reflect increased appropriations for Chapter 1 over the five years.

- Most Chapter 1 instruction provided by teachers working alone or assisted by an aide; nearly two-thirds of all districts used instructional aides in Chapter 1 instruction.

- Twenty percent of districts with aides who provide instruction on their own, without supervision from a Chapter 1 or regular classroom teacher, a substantial increase from only 7 percent in 1985-86.

- Only 6 percent of the largest districts (25,000 students or more) with no aides, compared to 47 percent of the smallest districts (fewer than 2,500). Even though large school districts more often used aides in their Chapter 1 programs, small districts were more likely to use unsupervised aides.

After the Supreme Court's decision in Aguilar v. Felton in 1985, the number of private school students served with Chapter 1 funds declined, from 184,500 in school year 1984-85 to 128,000 in school year 1985-86, but by 1989-90, the number had risen to 151,948 (III.1).

The GAO, in an August 1987 report, reviewed the impact of the Aguilar v. Felton decision on 15 school districts that varied in size and geographic setting, and on the number of students attending private, sectarian schools (III.4). The GAO review indicated that, since implementing new service delivery methods was costly, districts across the country generally settled on one or more of several common service delivery methods--public schools, neutral sites (stores, houses, libraries, etc.), mobile vans, portable classrooms, and computers.

In 1990-91, the most prevalent alternative method districts used to serve Chapter 1 students attending private schools was to provide computer-assisted instruction in the private school (32 percent). Mobile vans were used 29 percent of the time. Twenty-four percent of private sectarian students received Chapter 1 services at neutral sites. Twelve percent of private sectarian school students received Chapter 1 services at a public school site and 2 percent received Chapter 1 services through other means (III.3).

With regard to parent involvement, provisions in the 1988 Hawkins-Stafford Amendments specify that consultation with parents be organized, systematic, ongoing, informed, and timely; clarify that allowable parental involvement activities may be supported with Chapter 1 funds; and require that parental involvement occur in the planning, design, and implementation of programs.

Since the Hawkins-Stafford Amendments were passed, districts have expanded their parent involvement activities. Close to three-quarters of districts disseminate home-based education activities (compared to 46 percent in 1987-88). In addition, districts have increasingly used liaison staff to work with parents and other programs providing adult literacy services.

Technical Assistance Centers (TACs), authorized under Section 1436(d), P.L. 100-297, provide technical assistance to State education agencies (SEAs) and local education agencies (LEAs) in evaluation and program improvement. An evaluation of the TACs in FY 1988 (III.5), prior to the implementation of the 1988 amendments, concluded that the TACs were effective in many areas including:

o helping familiarize LEAs with research findings on effective schools and classrooms.

o promoting greater coordination between Chapter 1 and regular instruction.

o acting as a reference service for virtually all their State and local clients.

o gaining the confidence of SEAs and LEAs by developing close working relationships.

The TACs were cited by one-third of local school districts as a source for assistance in program improvement (III.3).

Program Administration

Program accountability is a major feature of the Hawkins-Stafford Amendments, with provisions to promote program improvement, target resources where needs are greatest, provide additional flexibility, strengthen parental involvement, and improve services for children enrolled in private schools. Evaluation findings with regard to these areas are summarized below.

Targeting funds. The new provisions define areas with high concentrations of children from low-income families; restrict the "grandfathering" of formerly eligible areas to one year; and require funds to be directed to children in greatest need of special assistance as determined through an annual needs assessment, to be in greatest need of special assistance.

For FY 1991, under Section 1006, $555.8 million was specifically allocated to local education agencies in counties with especially high concentrations of children from low-income families. At the local level these funds are an indistinguishable portion of the local grant. The FY 1992 appropriation for Chapter 1 basic and concentration grants was $6.1 billion--a 33 percent increase (after adjusting for inflation) over the 1980 funding level.

Concentration Grants are not highly concentrated in the poorest States; however, the concentration effect may be more apparent at the district level (III.7).

Program improvement. Under Section 1405, program improvement funds are allocated to the States based on a statutory formula; however, program resources can only be used for direct educational services in schools implementing Chapter 1 program improvement plans. In FY 1991, $14.8 million was appropriated for this purpose.

Regulations implementing the 1988 amendments require the local education agency to identify unsuccessful projects and improve them; consider achievement in both basic and more advanced skills when assessing project success; and assure that time and resources will be allocated for frequent and regular coordination of the curriculum and activities between Chapter 1 projects and the regular instructional program.

Since the 1989-90 school year, approximately 10,000 schools have been identified for program improvement. Among districts with schools identified for program improvement, 27 percent rated the accuracy of the identification process as good, 41 percent rated it fair, and 32 percent rated it poor. Districts that used multiple measures rather than relying on standardized test scores alone to identify schools for improvement were more likely to rate the process as highly accurate (III.3).

In 1989-90 and still in 1991-92, 27 States only required the use of Normal Curve Equivalent (NCE) gain scores for purposes of identification of schools for program improvement, with NCE scores serving as both the aggregate achievement standard and the desired outcome measure. Equally important, the 27 SEAs set the minimal Federal standard of no gain or a loss in NCEs to identify schools in need of improvement. Sixteen States identified schools on a higher standard -- 1 or 2 NCEs, but these standards are considerably lower than national averages for the Chapter 1 program (III.8 and III.9).

Most districts, following the lead of their States, set their performance standards at the minimum level required by law -- an achievement gain of greater than zero. Therefore, schools are identified for program improvement only if students make no achievement gains or actually decline in their achievement. Sixty-five percent of districts adopted other desired outcomes in addition to the achievement score gains on norm-referenced tests, such as sustained gains on tests (41 percent), a minimum percentile gain on a standardized test (35 percent) and teacher checklists (35 percent) (III.3).

Although multiple measures are neither encouraged nor widely used, the Implementation Study recommended greater reliance on multiple measures of performance with a composite score for identifying schools in need of improvement.

As of 1990-91, fewer than one-third of districts (28 percent) had completed the development of procedures for identifying students who have not shown gains after two successive years in the program.

Services to private school participants. In 1985, the U.S. Supreme Court held in Aguilar v. Felton that Chapter 1 personnel may not provide instructional services on the premises of religiously affiliated private schools. Instructional services for those children must be provided at sites that are neither "physically nor educationally identified with the functions of the private school."

To offset the costs of providing alternative delivery systems, Congress authorized a category of "capital expenses" in the Hawkins-Stafford Amendments. "Capital expenses" are expenditures for noninstructional goods and services that are incurred as a result of implementing alternative delivery systems to comply with the Felton requirement. For FY 1989 and FY 1990, \$19.8 million and \$25.6 million were appropriated, respectively. About one-fifth of the districts that have Chapter 1 private school students applied for and received funds for capital expenses. Most funds went for the purchase of property and transportation costs (III.3). Under Section 1017, Capital Expenses, \$36.1 million was appropriated in FY 1991.

Outcomes

Achievement data for school year 1989-90 were reported to the Department by 46 States, the District of Columbia, Puerto Rico, and the Bureau of Indian Affairs. Annual test scores were available for more than 1,635,499 Chapter 1 students in grades 2 through 12 who received reading instruction and for 991,998 who received mathematics instruction (III.1).

For Chapter 1 students tested in reading on an annual test cycle (fall-fall or spring-spring), gains were reported in all grades, with a high of 5 percentile points in grade 2 and a low of 3 percentile points in grades 5, 9, 11, and 12.

For Chapter 1 students tested in mathematics on an annual test cycle, gains were reported in all grades, ranging from 12 percentile points in grade 2 to 3 percentile points in grade 8. The largest gains were in grades 2 through 6.

The Study of Academic Instruction for Disadvantaged Students (III.7) indicates that students exposed to the most alternative forms of instruction that emphasize comprehension and meaning in math, reading, and writing are likely to perform better at the end of the school year (fall-spring) than their counterparts instructed with more traditional basic skill methods. However, an analysis of achievement patterns over a 12-month period (fall to fall) shows that achievement gains dissipate over the summer months (summer fall-off).

Children exposed to classroom instruction emphasizing understanding and meaning did not display a significantly poorer mastery of basic skills in mathematics, reading, or writing.

This study indicates that students who initially perform least well (bottom third) benefit from alternative kinds of instruction (instruction emphasizing understanding and problem solving) as much as, or more than, other students.

Management Improvement Strategies

Program flexibility is widely promoted by the Department's Compensatory Education Program. Copies of Chapter 1 Flexibility: A Guide to Opportunities in Local Projects were disseminated to every public school by the Chapter 1 office in an effort to inform educators of the flexibility in the Federal law (III.10). Provisions in the 1988 amendments allow a local education agency to reserve up to 5 percent of its funds for innovative projects and permit the use of Chapter 1 funds to upgrade the entire educational program in schools with high concentrations of children from low-income families (schoolwide projects) without matching contribution of State and local funds. The new provisions also allow for an alternative assessment procedure after approval by the Department.

Very few innovation projects are in operation: in school year 1990-91, only 3 percent of districts operated such projects, and in 1989-90, only 97 districts, or less than 1 percent were in operation. In 1990-91, schoolwide projects are now found in 4 percent of districts (up from 1 percent in 1985-86) and total 1362 projects. Strategies commonly employed by schoolwide projects are reduced class size, supplemental services that have flexible selection procedures, and staff development (III.3).

In 1989-90, SEAs established policies in several areas related to the new program requirements: innovation projects (38 SEAs), coordination with regular instructional program (36 SEAs), schoolwide projects (35 SEAs), parent involvement (30 SEAs), and identification of students not making gains (28 SEAs). Committees of Practitioners commented on initial drafts of the State program improvement plan and SEA rules or policies; many Committees also helped decide on the final contents of the plan or rules. Some Committees discouraged SEAs from setting high standards for schools in need of improvement. The groups were composed primarily of administrators (III.8).

FY 1991 was the eighth year of the Secretary's Initiative to Improve the Education of Disadvantaged Children. As part of this initiative, State education agencies were asked to identify, for possible national recognition, projects or programs that demonstrate successful strategies for helping disadvantaged children upgrade their academic performance. The Department received 164 nominations, of which 105 were selected for recognition and national dissemination. Altogether, 784 projects have been recognized to date. Volume VI of the Effective Compensatory Education Sourcebook, to be published in 1992, will contain profiles of outstanding programs recognized by the Department in 1991.

Three Chapter 1 meetings attended by more than 1,000 people were held in the spring of 1991. The meetings focused on providing guidance on effective strategies for starting or strengthening preschool programs, for implementing program improvement activities, and in identifying schools in need of improvement.

A Study of Programs Involving College Students as Tutors in the Elementary and Secondary Grades, required by Section 6204, P.L. 100-297, collected nationwide survey data on college tutoring programs that serve disadvantaged elementary/secondary school students. The study examined the structure and effectiveness of tutoring programs in the United States and other countries and the feasibility of adapting these or other programs to increase the effectiveness of present Chapter 1 services for educationally disadvantaged students (III.11).

III. SOURCES OF INFORMATION

1. A Summary of State Chapter 1 Participation and Achievement Information for 1988-89 (Rockville, MD: Westat Corporation, 1991); required reports submitted annually by SEAs to the U.S. Department of Education.

2. Anderson, J.I. "The Distribution of Chapter 1 Services: Which School Districts and Schools Serve Students in Chapter 1?" (Washington, DC: U.S. Department of Education, 1992).

3. The Chapter 1 Implementation Study Interim Report (Cambridge, MA: Abt Associates, 1992).

4. Compensatory Education: Chapter 1 Services Provided to Private Sectarian School Students (Washington, DC: U.S. General Accounting Office, 1987).

5. Evaluation of the ECIA Chapter 1 Technical Assistance Centers (TACs) (Washington, DC: Policy Studies Associates, Inc., 1988).

6. Barro, S.M. The Distribution of Federal Elementary-Secondary Education Grants Among the States (Washington, DC: SMB Economic Research, Inc., 1991)

7. The Study of Academic Instruction for Disadvantaged Students (Menlo Park, CA: SRI International, 1992).

8. State Administration of the Amended Chapter 1 Program (Washington, DC: Policy Studies Associates, Inc., 1990).

9. State Administration of the Amended Chapter 1 Program (Washington, DC: Policy Studies Associates, Inc., 1992).

10. Chapter 1 Flexibility: A Guide to Opportunities in Local Projects (Washington, DC: U.S. Department of Education, 1992).

11. Study of Programs Involving College Students as Tutors in the Elementary and Secondary Grades (Washington, DC: Policy Studies Associates, 1989).

12. Birman, B. The Current Operation of the Chapter 1 Program, Final Report from the National Assessment of Chapter 1 (Washington, D.C.: U.S. Department of Education, 1987).

IV. PLANNED STUDIES

A number of studies were begun or continued in FY 1991, including the following:

- 1992 National Assessment of Chapter 1. Legislation enacted in the spring of 1990 requires the Department to conduct a comprehensive national assessment of the Chapter 1 program. The law requires information on a number of topics related to the basic grants program in addition to information on the Even Start and Migrant Education programs. The information required on the Chapter 1 basic grants program includes the following: implementation of the provisions in the statute relating to participation of private school children, program improvement, parental involvement, schoolwide projects, and coordination with other programs. The legislation also requires descriptions of funds allocations to schools, recipients of services, the types of services delivered, and the background and training of teachers and staff. Information is also required on program outcomes such as student achievement, student attendance, behavior, and grades, and the development of curricula that are effective in instructing students in basic and more advanced skills. The Department was required to submit an interim report to Congress by June 30, 1992, and a final report by December 1, 1992.

- Prospects: The Congressionally Mandated Study of Educational Growth and Opportunity. The Chapter 1 Longitudinal Study will assess students' success through significant participation in Chapter 1. Success will be measured in terms of basic and higher order skills; avoidance of behavioral problems such as delinquency, truancy, and dropping out; employment and earnings; and enrollment in postsecondary education. The study contractor is implementing the plans developed in the design phase of the Longitudinal Study by collecting, analyzing and reporting on all data. The contract was awarded in April 1991. Approximately 400 field staff were trained and the first wave of data collection for 3rd and 7th grade cohorts, their parents, teachers, principals, and district Chapter 1 coordinators has been completed. There are approximately 400 schools in the study and 28,000 students. Data on first graders were collected in the fall of 1991.

- Special Strategies in Chapter 1 Programs accompanies the Chapter 1 Longitudinal Study. Two contracts were awarded, one that focuses on urban sites and one that concentrates on suburban and rural sites. The purpose of these case studies is to provide additional information on appropriate strategies that support success for Chapter 1 children.

- Chapter 1 Resource Study. The study will examine, in 120 selected schools in six States, how Chapter 1 resources are used in relation to other available Federal, State, and local resources for education, especially State compensatory education program resources. A specific consideration will be whether and to what degree Chapter 1 provides particular services in high-poverty schools in fiscally poor school systems, that are normally provided through State and local funds in schools in more affluent districts. Components of the study include surveys and resource data collection in 120 schools and intensive case studies in 25 of these schools.

- Chapter 1 Follow-up State Survey. This follow-up survey will collect information on State-level implementation of the new program requirements under the Hawkins-Stafford amendments in school year 1991-92. It will update information collected in the 1990 State Survey of Chapter 1 programs. Particular attention will be paid to program improvement activities, schoolwide projects, parent involvement, and program coordination. New questions will be asked regarding Federal oversight of the program.

- The Chapter 1 Implementation Study. The purpose of this study is to describe implementation of the Hawkins-Stafford Amendments. This three-year study looks primarily at the district and school levels, through a mail survey in school year 1990-91 of a nationally representative sample of 1600 LEAs, and site visits to a nested sample of 9 SEAs, 27 LEAs, and 54 schools, and a mail survey in school year 1991-92 of a nationally representative sample of approximately 1000 schools. The study will collect, in addition to information on implementation of Hawkins-Stafford, basic descriptive information on staff and student characteristics and program administration at the local level. It will replicate items from the 1987 National Assessment (III.12) so that trend data can be included in the study findings.

- Schoolwide Project Survey. This study will provide current information on the operation, effectiveness, and technical assistance needs of Chapter 1 schoolwide projects. All schoolwide projects and the districts in which they are located were surveyed by mail in the fall of 1991. Information was collected on schoolwide project planning, the relationship of Chapter 1 program improvement status to the schoolwide project, program features of the schoolwide project and any changes in services to Chapter 1 students, and project evaluation results to date, including the evaluation method used to meet the mandated accountability requirements.

- A Descriptive Study of the Chapter 1 Migrant Education Program. This major descriptive study will provide a current, nationally representative description of the Migrant Education Program for use by Federal, State, and local program decision makers. Questions to be addressed by the study focus on the targeting of services to students, the services provided, communications and information sharing across projects and programs, program expenditures, and program administration.

- Even Start Evaluation. This multi-year evaluation is mandated in legislation and will assess the effectiveness of the Even Start program in providing services to special populations, adult education services, parent training, home-based programs involving parents and children, coordination with related programs, and staff training. The study will describe the operations and implementation of the Even Start program; assess the implementation of the Even Start program; assess short- and long-term effects of the Even Start model; and assist exemplary local projects in applying to the National Diffusion Network (NDN) to serve as models for national dissemination. There are four components: a national evaluation information system of data collected from all 122 projects; intensive descriptive data and outcome data collection from 10 sites selected for an in-depth study; technical assistance to local projects in NDN application; and general technical assistance to projects in additional local evaluation activities, if any.

- Surveys of Chapter 1 Services to Private School Students. Two mail surveys to local education agencies and private sectarian schools will gather detailed data on the number of private school participants in Chapter 1, the number of eligible private school participants, the types of services non-public school participants receive, and the effectiveness of these services. The impact of Felton will also be assessed in terms of participation and services. The 1987 National Assessment of Chapter 1 was unable to capture many of these private school variables because Felton had so recently been implemented. This study will allow the Government to better gauge services to non-public-school participants.

- The Identification of Effective Practices for At-Risk Students is a component of an international study of children and youth at-risk initiated by the Organization for Economic Cooperation and Development (OECD) with participation by the Department. The objective of the U.S. study are to (1) document the education deficiencies to be overcome in the U.S.; (2) compare our Nation's experience in compensatory education with those of other countries; and (3) highlight effective strategies for serving the educationally at-risk populations in Chapter 1 and related programs.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Mary Jean LeTendre, (202) 401-1682

Program Studies : Adriana de Kanter, (202) 401-1958

MIGRANT EDUCATION PROGRAM (MEP) (CHAPTER 1, ESEA) FORMULA GRANTS TO STATE EDUCATION AGENCIES TO MEET THE SPECIAL EDUCATION NEEDS OF MIGRATORY CHILDREN, AND MIGRANT EDUCATION EVEN START PROGRAM (MEES)

(CFDA Nos. 84.011 AND 84.214A)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297, Title I, Chapter 1, Part B and Part D, Subpart 1 (20 U.S.C. 2741-2749 and 20 U.S.C. 2781-2783) (expires September 30, 1993).

Purpose: To provide financial assistance to State education agencies (SEAs) to establish and improve programs to meet the special education needs of migratory children of migratory agricultural workers or fishermen and to improve the interstate and intrastate coordination activities required of State and local migrant education programs funded under Chapter 1. To provide financial assistance to SEAs or SEA consortia to improve the educational opportunities of migrant preschool children and their parents through the integration of early childhood education and adult education into a unified program.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$ 9,737,847	1985	$264,524,000
1970	51,014,000	1986	253,149,000
1975	91,953,000	1987	264,524,000
1980	245,000,000	1988	269,029,000
1981	266,400,000	1989	272,145,000 1/
1982	255,744,000	1990	283,170,000 2/
1983	255,744,000	1991	296,089,000 3/
1984	258,024,000		

1/ Includes an appropriation of $445,000 for the Migrant Education Even Start program.

2/ Includes an appropriation of $726,000 for the Migrant Education Even Start program.

3/ Includes an appropriation of $1,493,000 for the Migrant Education Even Start program.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Migrant Education program (MEP) funds instructional and support services that serve educationally disadvantaged migrant children at preschool, elementary, and secondary school levels and in both the regular school year and in summer programs. These services support school readiness, increasing the school graduation rate, competency in subject matter, and achievement in science and mathematics (Goals 1,2,3, and 4). The Migrant Education Even Start program (MEES) supports preschool projects which increase readiness to learn in school, and adult education programs which promote adult literacy for migrant parents (Goals 1 and 5).

Performance Indicators

o The dropout rate for migrant students has declined from approximately 90 percent as reported in the early 1970s to between 45 percent and 64 percent in 1985-86.

o Annual test scores for regular term MEP students in 16 States in school year 1988-89 showed the following results:

--MEP students score poorly relative to other students on standardized tests. Posttest performance of MEP students generally fell in the second quartile for reading and mathematics.

--Positive normal curve equivalent (NCE) scores were reported for all but two grades in reading and all but three grades in mathematics.

--Annual changes from pre- to post-test ranged from -0.3 to 1.8 normal curve equivalents (NCE) in reading and from -1.3 to +3.1 NCE in mathematics.

Population Targeting

Data on MEP students are available from three major sources: 1) the Migrant Student Record Transfer System (MSRTS)[1] data base, 2) annually submitted State performance reports, and 3) a new descriptive study of the program. MSRTS provides data on students eligible for, although not necessarily receiving, MEP-funded services. State performance report data, which are based on the number of students receiving MEP-funded services, may include duplicated counts across States. In addition, the Descriptive Study of the Chapter 1

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[1] The MSRTS is a national computer network that facilitates the transfer of education and health records among school districts to help provide continuity of services to migrant students. Eligibility data from this network also are used as the basis for federal funding.

Migrant Education Program (III.3) provides comprehensive data on services for migrant students enrolled in school on March 1, 1990, for the academic year, and at the end of the first two weeks of summer school, 1990.

According to data from MSRTS, almost 600,000 children were identified as eligible and enrolled on the MSRTS in calendar year 1990 (III.1).

According to information from the annual State performance reports, over 380,000 students in school year 1988-89 participated in services funded through the MEP. States with more than 10,000 participants were California, Texas, Florida, Arizona, Michigan, Oregon, and Washington. Together, these States accounted for 69 percent of the total number of program participants. States with fewer than 100 participants were West Virginia and South Dakota (III.2).

An estimated 454,800 identified migrant students were enrolled in school in March 1990, and an estimated 160,200 were in 1990 summer-term MEP projects, according to the descriptive study. About 39 percent of regular school year and 45 percent of summer-term migrant students were currently migratory. About 74 percent of the migrant students were Hispanic. Another 19.5 percent were white, 3.7 percent Asian, 2.8 percent African-American, and 0.6 percent American Indian or Alaskan Native. Their reported countries of birth were: U.S.--67 percent; Mexico--28.6 percent; Other--4.4 percent. Twelve percent of the students were in preschool or kindergarten; 56 percent in grades 1-6; and 32 percent in grades 7-12 (III.3).

Migrant students exhibit marked disadvantage. For example: their teachers report that 40 percent have oral English language deficiencies large enough so as to interfere with their school work. Over 80 percent of the migrant students were eligible for free or reduced-price meals; more than one-third were over age for their grade; and 47 percent were eligible for the regular Chapter 1 program (III.3).

Overall, the reading achievement level of 45 percent of migrant students is estimated to be below the 35th percentile. While a number of migrant students have economic or educational disadvantages, the fact that many of them suffer from multiple disadvantages places them particularly at-risk of educational failure (III.3).

One study suggests that, both historically and currently, a number of the most needy migratory children are not being identified:

o "In addition to classic migrants, there appear to be a set of migrants who do not have home base locations in the normal sense...[such as the] "Biker" migrants in Idaho....These groups include family units with children who are in desperate need of a good education....We don't know their numbers or the patterns of work they follow" (III.4).

- The current system for allocating funds and the Federal capping of the MEP appropriation discourage the enrollment of some migrant children in the program. In cases where a given State's allocation shrinks from year to year, such "nonessentials" as active identification and recruitment are reduced to protect standard educational services. This is especially true in the States that are home bases for migrants. The children most in need of the services, the ones who are most isolated and who move most frequently, are the ones most likely to be ignored by "laissez-faire" recruitment efforts (III.4).

According to an audit by the Department of Education's Office of the Inspector General, the statutory definition of an eligible migratory child allows a significant number of children to be counted and served as migrants even though their education has not been interrupted (III.5).

A program analysis based on case studies reported that effective migrant projects actively recruit migrant students. Recruitment techniques include intensive door-to-door canvassing of the migrant community; establishing relations with employers, health providers and social service agencies; and encouraging word-of-mouth advertising through the families of already recruited migrant children (III.6).

The case studies of effective projects indicated that direct access to MSRTS is critical so that information on student needs can reach those responsible for needs assessment and student selection as quickly as possible once a student is recruited and enrolled (III.6).

Services

In FY 1991, the Department awarded $285,598,000 in State MEP grants to 49 States, the District of Columbia, Puerto Rico, and the Northern Marianas; $8,998,000 in interstate/intrastate coordination contracts, including MSRTS, to five States; and $1,493,000 in Migrant Even Start grants to nine SEAs (III.7). MEP projects offer instruction and support services during both the regular school year and the summer term.

Just over 80 percent of migrant students enrolled in regular school year MEP projects received MEP instructional or support services; 60 percent of currently migratory and 50 percent of formerly migratory students received MEP instruction (III.3).

Reading, other language arts, and mathematics are the most common instructional services (see Table 1). Migrant students also receive support services through MEP. For the 1990 regular school year, the major support activities included home-school liaison services, medical or dental screening and treatment, and guidance or counseling (III.3).

About half of regular-school-year projects and almost three-fourths of the summer-term projects reported currently offering MEP services to preschool children. In addition, about half of both the regular year and the summer-term projects reported currently offering MEP services to students ages 18 through 21. (Legislative changes in 1988 included both these age groups in the funding formula.)

Programs offered during the summer differ markedly from regular-year programs. Instead of funding services that supplement and complement the basic education program, agencies that operate MEP summer school projects take on responsibilities much like those of school districts during the regular year. Projects offer regular instruction or individualized tutoring in English, language arts, mathematics, science, and social studies. They also provide transportation, meals, and physical education classes. The predominant mode of instruction during the regular school year is to have additional teachers or aides assist in the regular classroom, or to pull migrant students out of the classroom for supplemental instruction. Summer-term projects, however, are most likely to place students in special classes of predominantly migrant students (III.3).

The case studies of effective migrant projects (III.6) indicate that effective projects employ the following strategies:

- extended-day and after-school activities -- including homework centers (where teachers/aides are available to help students with homework assignments) and extra tutorial assistance that cannot be easily accommodated during the regular school day;
- flexible course offerings and part-time study combined with work opportunities -- to better serve secondary students in danger of dropping out;
- establishment of preschools at migrant work camp sites; and
- integration of services through the sharing of teachers' aides across compensatory education programs.

The case studies of effective migrant projects also indicate that such projects typically have well-qualified and dedicated staff, including a project director who is a strong leader yet is willing to provide staff with leeway for innovation and who has access to the highest levels of district administration (III.6).

Table 1
Percentage of Migrant Students Receiving MEP Instructional Services, by Instructional Category[2]
1990

	Percentage of Regular School Year Students		Percentage of Summer-Term Students	
Instructional Service	Currently Migratory	Formerly Migratory	Currently Migratory	Formerly Migratory
Reading	45.5	32.5	86.5	83.7
Other Language Arts	26.0	21.3	81.3	75.4
Mathematics	25.9	23.8	75.8	79.6
Science	7.7	5.3	29.8	48.0
Social Science	7.1	5.5	32.6	34.7
Vocational/Career	1.0	2.2	25.8	33.0
Cultural Enrichment	4.3	1.5	58.5	57.9
Preschool Training	1.2	0.5	16.7	10.5
Health	1.8	2.4	16.5	14.3
Basic Skills/Tutoring	1.6	3.1	3.5	3.3
Other	0.7	3.9	7.8	6.6
Any of the Above	60.0	49.8	98.6	97.4

Source: III.3

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[2] The percentages of students receiving services in the regular-year and in the summer term were calculated differently, so direct comparisons should not be made. In the regular term, the students receiving MEP services in a district were compared to the total number of eligible children then resident in the district. For the summer term (for which attendance is voluntary), the percentage was obtained by comparing the number of children in the district receiving a particular service to the number participating in the summer MEP program.

In school year 1988-89, the MEP funded over 11,000 full-time equivalent (FTE) staff in the regular school term; in the summer term, 10,500 FTE staff were funded by the MEP (III.1).

In 1988-89, the ratio of MEP teachers and aides to regular-term migrant participants was 1:43.1; the ratio of teachers and aides to summer-term participants was 1:16.9. The ratio of total MEP staff to migrant participants was 1:30.1 in the regular term and 1:11.9 in the summer term (III.1).

Table 2

1988-89 Migrant Education Program Staffing in FTEs by School Term

FTE Staff	Regular Term		Summer Term	
TOTAL	11,065	(100%)[3]	10,295[4]	(100%)
Administrative	396	(4%)	452	(4%)
Teachers	2,598	(24%)	3,896	(37%)
Teacher Aides	5,124	(46%)	3,539	(34%)
Curriculum Specialists	207	(2%)	169	(2%)
Support	538	(5%)	567	(5%)
Recruiters	749	(7%)	494	(5%)
MSRTS Data Entry Specialists	576	(5%)	308	(3%)
Other	878	(8%)	1,108	(11%)

Source: III.1.

In 1990, about one-fourth of regular-school-year projects and one-third of summer-term projects reported providing migrant education program instruction to all eligible students. Reasons for not serving eligible students, in order of prevalence, were: students lacked demonstrated need; students' needs were being met by other programs; services were offered only in certain schools, or to certain ages or grade levels. More than 40 percent of the projects also reported "other" reasons such as inadequate funds or insufficient staff (III.3).

In addition to MEP, some migrant students also receive services from other special programs. About 29 percent of regular school year migrant students were reported to receive additional compensatory instructional services for an average of about nine hours per week. About 24 percent of them received regular Chapter 1 instruction. Over 70 percent, however, reportedly did not receive instructional services from any compensatory program other than MEP (III.3).

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[3] Percentages add to 101% because of rounding.

[4] Percentages add to 101% because of rounding.

Program Administration

According to an ethnographic study of the effects of migration on children, the isolation of the migrant child from the rest of the community in which the child lives can be extreme and requires a greater emphasis on outreach activities than do programs for other populations (III.8). The study cautioned that "too many programs believe that outreach is something you can live without. Yet, without outreach, the most isolated and most needy migrants will have no access to the program. At best, the services start going to settled-out migrants, who have less need" (III.9).

Recruitment

Site visits in conjunction with the 1990 descriptive study found that migrant children were generally identified through the regular school-district enrollment process. If it appeared likely that the student was migrant, MEP recruiters followed up with a home visit. In addition, MEP staff maintained lists of students from the previous year and recertified them through home visits. Projects with diminishing numbers of migrant students were most likely to emphasize recruitment, and their staff canvassed door to door to find students. In well-established projects, parents often served as informal recruiters with new families. In other cases, employers gave lists of workers to the MEP recruiter. The study found that summer projects gave less attention to identification and recruitment than did the regular school year projects that were visited (III.3).

Over 65 percent of MEP projects reported making an extensive effort to identify and recruit previously unidentified students; 3 percent of regular school year projects and 7 percent of summer-term projects reported that they made little or no effort. On average, regular school year projects reported that they recruited 44 previously unidentified students during the year; summer-term projects reported an average of 58 new students. About 50 percent of the local projects employed one recruiter; about 25 percent employed from two to five, and about 6 percent employed more than five. Most of the recruiters worked part-time on recruitment, also serving as teachers, aides, or in other MEP roles (III.3).

Findings from the 1987 case studies of six States and ten local projects also identified various problems related to current local practices, MSRTS, and student mobility that reduce the likelihood that migrant students with disabilities will be identified and served appropriately. These problems include the lack of local expertise with Federal and State regulations regarding services to students with disabilities; either lengthy or limited procedures for identification, assessment, and remediation of children's needs; and limited space on the MSRTS student record to record information on disabling conditions and treatments (III.10).

Project Management

Fifteen States employed State directors in 1990 whose sole responsibility was to direct the MEP. In the remaining States, directors spent on average 37 percent of their working time on MEP. While a number of State education agencies (SEAs) dealt directly with local projects, in other States--particularly the larger ones--MEP regional organizations acted as intermediaries. In such situations, the division of responsibility was split between State and regional offices, or delegated mainly to the regional office. The frequency of assistance to local projects appeared to be greater in those States with regional offices (III.3).

In most cases, local projects had considerable autonomy in the design of their service delivery activities, but in some States SEA priorities were imposed on the localities, according to local officials. Local projects reported general satisfaction with the level of technical assistance received from the State and other sources. Well over half of the projects reported that their technical assistance needs were completely met (III.3).

About 80 percent of the local MEP projects were administered by a single school district; roughly 15 percent were administered by a regional office of an SEA. About half of the summer-term MEP projects reported MEP to be the only compensatory education program operating during the summer in the service area of the school district(s) served by the project (III.3).

MSRTS and Other Sources of Information

To obtain information on the grade-level placement of a newly enrolled migrant student, staff were most likely to consult records from the prior school (66 percent for regular school year projects and 45 percent for summer-term projects). This was followed by information from parents or students (44 percent for regular school year and 49 percent for summer-term projects). Some 16 percent of regular school year projects noted they used MSRTS; 35 percent of summer-term projects identified MSRTS as the source of information (III.3).

Over 80 percent of regular-year and 56 percent of summer-term projects reported getting information on children's instructional needs from school records. MSRTS was used for this purpose for only 27 to 30 percent of the projects. Case study data also confirmed survey findings reported above: MSRTS was rarely the initial or primary medium of communication about individual students. The visited sites appeared more likely to use MSRTS or a similar system if they had a large percentage of currently migratory students who were experiencing educational disruption (III.3).

Two reported impediments to using MSRTS records locally were the delay in obtaining information and the burden of using the system. In some cases, for example, sites lacked a computer terminal. The average turnaround time for receipt of data by school staff was 6 days for regular school year projects and 7.4 days for summer-term projects. Lack of local terminals was a major contributing factor (III.3).

Because of poor attention to the completeness, accuracy, and timeliness of data made available through the MSRTS, its data files on individual students may contain out-of-date information, or no information, for many variables of interest. Moreover, because only about 1,800 operating agencies receive MEP subgrants, the information on eligible migrant children who move to a location without a project may not be updated until the children reach another school district with an MEP project and a link to MSRTS (III.7).

A 1991 report on MSRTS released by the National Commission on Migrant Education described many of the problems noted above. The Commission recommended the following:

- o Significantly reduce the migrant student's MSRTS record to essential data on school enrollment and health status.
- o Increase direct access of local educators to MSRTS.
- o Provide a role for migrant students and their families in MSRTS.
- o Conduct a technical assessment of MSRTS with an independent research agenda.
- o Design data-quality procedures in MSRTS to ensure completeness, accuracy, and security of student information.
- o Mandate, by 1993, State compliance with MSRTS requirements before the Department approves applications for migrant programs (III.11).

Project Expenditures

States reported SEA-level MEP expenditures for the 1988-89 school year (including summer 1989) of $21 million. This included funding from all sources, including carryover funds, but excluded funds provided through subgrants to local projects. Major SEA-level expenditures were for administration (42 percent), instructional and support services (35 percent), MSRTS (9 percent), identification and recruitment (7 percent), and interstate/intrastate coordination (4 percent) (III.3).

At the local level, the total reported budgets were just under $300 million. Major local project expenditures were for instructional services (about 62 percent), support services (about 12 percent), administration (8 percent), MSRTS (6 percent), and identification and recruitment (5 percent). Local projects reported receipt of in-kind contributions, gifts, and other fiscal assistance valued at about $11 million (III.3).

Outcomes

An FY 1990 reanalysis of 1978-79 summary data from the Research Triangle Institute (RTI) study indicates that the reading and mathematics pretest scores for currently and formerly migrant students in grades 2, 4, and 6 are not significantly different, indicating that currently and formerly migrant children appear to be equally disadvantaged (III.12).

The dropout rate for migrant students has declined from approximately 90 percent as reported in the early 1970s to between 45 percent and 64 percent in 1985-86 (III.13). (Nationally, approximately one-quarter of students fail to graduate.)

In school year 1988-89, 16 States (out of the 48 with programs during the regular school term) reported achievement data based on an annual test cycle for the regular term. Over 30,000 MEP students tested in reading and over 17,000 MEP students tested in mathematics. Seventeen States (out of 46 with summer programs) also reported achievement data for the summer term on over 6,700 MEP students tested in reading and almost 6,300 MEP students tested in mathematics (III.1).

Data on annual testing of regular-term MEP students showed the following results (III.1):

- MEP students score poorly relative to other students on standardized tests. Posttest performance of MEP students generally fell in the second quartile in reading and mathematics, indicating that a majority of all U.S. students scored better than students in the MEP.
- Math performance was generally higher than reading performance.
- Positive normal curve equivalent (NCE) scores resulted in all but two grades in reading and all but three grades in mathematics.
- Annual changes from pre- to post-test ranged from -0.3 to 1.8 NCE in reading and from -1.3 to +3.1 NCE in mathematics.

The 1988 statute requires SEAs and LEAs to evaluate and report the findings of their evaluations at least every two years. The Department is also required to report evaluation results to Congress at least that often (III.14).

Management Improvement Strategies

The Department has begun the process of competing a contract for the MSRTS. (Previously, the contract has been a sole source award.) The Department, in conjunction with the General Services Administration, is funding a study that will examine MSRTS's functions, operations, and problems; review recommendations from groups such as the National Commission on Migrant Education; present alternatives for making the system more efficient and cost-effective; and develop technical specifications for use in the contract redesign.

Early in 1992, ED disseminated copies of a Policy Manual that provides, in a question-and-answer format, detailed guidance on implementing the statutory and regulatory requirements of the program (III.15).

During FY 1991, the Department continued support under the interstate/intrastate coordination program. The activities include three Migrant Program Coordinating Centers (PCCs) which provide training and assistance in issues of interstate and intrastate coordination related to curriculum and instruction, program management, evaluation, and program improvement; and a national program of credit exchange and accrual to assist migrant secondary students in meeting high school graduation requirements (III.1). The Department also funded a coordination project designed to give educational and support services referrals to migrant families at a stop-over site in Hope, Arkansas.

In FY 1991, the Department began a study of the costs of migrant summer school projects in order to develop recommendations for a revised summer-school funding formula that is better keyed to the summer-school needs of currently migratory children. Results of that study will be available in 1992 and will be considered before publishing any formal proposal to adopt another adjusted formula.

III. SOURCES OF INFORMATION

1. A Summary of State Chapter 1 Migrant Education Program Participation and Achievement Information for 1988-89, (Draft), Volumes I and II (Washington, DC: Westat, 1991).

2. Synthesis of Available Research and Databases on the Migrant Education Program, Volume II, the Migrant Student Record Transfer System (Washington, DC: Applied Systems Institute, 1988).

3. Descriptive Study of the Chapter 1 Migrant Education Program (Washington, DC: U.S. Department of Education, 1992).

4. An Ethnography of Migrant Farmworkers Educational Opportunities (Harrisburg, PA: Pennsylvania Department of Education, 1987).

5. Changes Needed in Allocating Migrant Education Program Funds, Audit Control No. 09-40004 (Washington, DC: U.S. Department of Education, 1987).

6. Handbook of Effective Migrant Education Projects, Vol. 1: Findings; Vol. 2: Case Studies (Arlington, VA: Development Associates, Inc., October 1989).

7. Program files.

8. The Effects of Migration on Children: An Ethnographic Study (Harrisburg, PA: Pennsylvania Department of Education, 1989).

9. R.T. Trotter, "An Ethnographic Study of Migrant Farmworker Educational Opportunities" (Paper presented at the annual meeting of the American Educational Research Association, New Orleans, LA, 1988).

10. Case Studies of the Migrant Education Program (Washington, DC: Policy Studies Associates, Inc., July 1987).

11. Keeping Up With Our Nation's Migrant Students (Bethesda, Maryland: National Commission on Migrant Education, 1991).

12. Report on the Department of Education's Review of Chapter 1 Migrant Education Data (Washington, DC: U.S. Department of Education, 1990).

13. Migrant Attrition Project: Executive Summary (Oneonta, NY: State University of New York at Oneonta, 1987).

14. The Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297 (Washington, DC: U.S. Congress, 1988).

15. Migrant Education Program Policy Manual, (Washington, DC: U.S. Department of Education, 1992).

16. Migrant Education Program; Final Regulation FEDERAL REGISTER, Vol. 54, No. 203, Monday, October 23, 1989, pp. 43220-43250.

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18. Quarterly Status Reports, Audit Control No. 09-40004 (Washington, DC: U.S. Department of Education, 1990).

19. Texas Survey of the Utilization of the MSRTS System: Evaluation Report (Austin, TX: Powell Associates, 1986).

20. Non Regulatory Guidance (NRG) Part 6-Identification and Recruitment and Part 8-Education Program Eligibility Criteria (Washington, DC: U.S. Department of Education, March 8, 1990).

21. National Identification and Recruitment: Administrator's Guide, Recruiter's Guide, and Reference Supplement (Harrisburg, PA: Pennsylvania Department of Education, March 1989).

22. National Migrant Evaluation Committee Report (San Antonio, TX: National Association of State Directors of Migrant Education, 1990).

IV. PLANNED STUDIES

In FY 1992, the Department will analyze and report on State-reported participation and achievement data for the 1988-89 and 1989-90 school years. The Department is also planning to fund several interstate/intrastate coordination grants to demonstrate effective practices.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Francis V. Corrigan, (202) 401-0740

Program Studies : Elizabeth Farquhar, (202) 401-1958

FORMULA GRANTS TO STATES FOR NEGLECTED OR DELINQUENT CHILDREN
(CFDA No. 84.013)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965, Chapter 1, Part D, Subpart 3 as amended (20 U.S.C. 2801) (expires September 30, 1993).

Purpose: To provide financial assistance for compensatory education to State agencies directly responsible for providing free public education to children in institutions for neglected or delinquent (N or D) children, children attending community day programs for neglected or delinquent children and juveniles in adult correctional institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$2,262,000	1985	$32,616,000
1970	16,006,000	1986	31,214,000
1975	26,821,000	1987	32,616,000
1980	32,392,000	1988	32,552,000
1981	33,975,000	1989	31,616,000
1982	32,616,000	1990	32,791,000
1983	32,616,000	1991	36,107,000
1984	32,616,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Services provided by the N or D program are designed to help students continue their education while they are housed in a State facility (Goal 2). Classes are usually offered in mathematics, reading, and language arts (Goals 3 and 4). The program is intended to increase the literacy of program participants, many of whom are over 18-years-old, to better prepare them to gain employment and become productive citizens after leaving the correctional facilities (Goal 5).

Performance Indicators

- Approximately half of the eligible population in participating facilities receive Chapter 1 N or D services. Facilities most often use scores on standardized tests to determine which youth are in greatest need of services. However, there is little variation in demographic characteristics or pre-institutional experiences between Chapter 1 students and eligible but nonparticipating students.

- Close to half (42 percent) of Chapter 1 N or D participants were high school dropouts prior to receiving N or D services in State facilities. On average, the highest grade participants have completed is three years below the highest grade normally completed by other youth of their age group.

- In N or D programs, the curricular sequencing and materials are matched to each student's skill deficiencies; however, the instructional methods used are the same for all students. Instructional strategies are typically drill and practice, with a curriculum structured around workbooks, outdated texts, and materials geared towards younger students. Teachers often lack strategies for instructing multi-ability-level classes of students.

- The qualifications of teachers in Chapter 1 N or D programs are comparable to those of teachers nationwide. Approximately 38 percent of Chapter 1 N or D teachers hold a master's or higher degree.

- Program administrators at the State and facility level report several administrative problems associated with the Chapter 1 N or D program. They include lack of fit between the Chapter 1 N or D program and the primary areas of responsibility of staff, at both the State and facility levels.

- One-half of Chapter 1 N or D participants continue their education when they leave the correctional facility by enrolling in school. However, many who enroll subsequently drop out. Younger program participants and those in juvenile facilities are more likely to enroll in school and stay enrolled than older youth and those in adult correctional facilities. The information provided to participants in correctional facilities prior to their release has little influence on whether they continue their education.

- Approximately 76 percent of participants are employed within 10 months after participation, primarily in low level minimum wage jobs. Two-thirds of the participants who had been in the community at least five months had held more than one job since their release.

- Slightly less than 10 percent of the participants are reinstitutionalized 10 months after release, although 30 percent had contact with the law during the same time period.

Population Targeting

Approximately 53,500 participants were served in the 1988-89 school year. Some 62 percent of those served were in institutions for delinquent children, 33 percent were in adult correctional facilities, and 4 percent were in institutions for neglected children.

To be eligible for Chapter 1 N or D services, youth must be entitled to a free public education not above grade 12, under age 21, lacking a high school diploma or its equivalent, have an average stay of at least 30 days in the institution and be enrolled for at least 10 hours a week in an organized program of instruction supported by non-federal funds.

Fifty-six percent of the participants were 17 through 21 years old; 89 percent were males; and 49 percent of the participants were black, 34 percent white, 15 percent Hispanic, 1 percent American Indian or Alaska Native, and 1 percent Asian or Pacific Islander (III.1).

The National Study of the Chapter 1 N or D Program (III.2) collected data on the N or D program in juvenile and adult correctional facilities. It found that:

- Approximately half of the eligible population in participating juvenile and adult correctional facilities receive Chapter 1 N or D services.
- Facilities most often use scores on standardized tests to determine which youth are in greatest need of services. However, there is little variation between Chapter 1 students and eligible but nonparticipating students in demographic characteristics or pre-institutional experiences.
- Chapter 1 participants in juvenile facilities are more likely to be younger, to have been in school at the time of commitment, and to intend to return to school after release than participants in adult facilities.
- The average age of Chapter 1 participants in correctional facilities is 17.5. The average age of participants in juvenile facilities is 17, whereas for those in adult correctional facilities, the average age is 20.

Services

Chapter 1 programs for N or D children generally provide supplementary reading, language arts, and mathematics instruction. In the 1988-89 school year, supplementary instruction in reading was provided to 68 percent of the participants; supplementary instruction in math was provided to 66 percent. A pullout model of small classes is used most frequently.

Findings from the Study of the Chapter 1 N or D program include the following:

- Chapter 1 N or D participants spend an average of five hours per week in Chapter 1 reading classes and five hours per week in Chapter 1 mathematics classes in juvenile facilities. In adult facilities, they spend the same amount of time in reading classes, but slightly less time (four hours) per week in Chapter 1 mathematics classes (III.2).

- Teacher-developed materials, workbooks, practice sheets, and textbooks are used in most Chapter 1 N or D classes. The curricular sequencing and materials are matched to each student's skill deficiencies; however, the instructional methods used are the same for all students (III.3).

Program Administration

The Study of the Chapter 1 N or D program (III.3) found that:

- Administration of the Chapter 1 N or D program is complicated by the number and diversity of staff and the relatively low time commitments these staff have made to administering the program. The SEA, the State agency (SA), and one or more staff at participating facilities are all involved in program administration, yet on average spend less than half of their time on N or D responsibilities.

- The SEAs review and approve SA applications, provide occasional technical assistance, and monitor the program.

- The SAs play the key role in administering the program. They develop programs, allocate funds to participating facilities, conduct on-site monitoring of programs, provide technical assistance, and oversee program operations.

- Facility-level administrators implement policies and procedures established by the SA.

- Juvenile facilities are more likely to participate in the Chapter 1 N or D program and to have more participants per facility than adult correctional facilities.

- Chapter 1 N or D funds account for 10 percent of total education funding at participating facilities. However, the Chapter 1 program assumes a more substantial role in the overall education program at juvenile facilities where it represents 14 percent of all education funding, than in adult facilities where it represents only 5 percent of total education funding.

- Chapter 1 is an important source of funding for computer purchases, staff training and development, and instructional aides. The Chapter 1 N or D funds provide 43 percent of the facilities' expenditures for computer-related purchases, 21 percent of expenditures for staff training and development, and 47 percent of expenditures for instructional aides.

- Program administrators at the State and facility levels report several administrative problems associated with the Chapter 1 N or D program. They include:
    - lack of fit between Chapter 1 N or D and the primary areas of responsibility of staff, at both the State and facility levels;
    - a poor fit between Federal regulations and the context of corrections education. (For example, the age limit of 21 constrains services in adult facilities, where many students older than 21 would benefit from the program but stop receiving Chapter 1 N or D services when they turn 21. Also, evaluation requirements are not seen as appropriate, given the high turnover of students.);
    - burden imposed by recordkeeping and paperwork requirements; and
    - inadequate funding.

Outcomes

The Chapter 1 N or D Study (III.4) examined the post-release experiences of Chapter 1 N or D participants through two follow-up interviews conducted 5 months and 10 months after participants were first interviewed during the site visits. Findings from the 50 percent of participants the study was able to recontact include the following:

- One-half of Chapter 1 N or D participants continue their education when they leave the correctional facility by enrolling in school. However, many of those who enroll subsequently drop out. Younger program participants and those in juvenile facilities are more likely to enroll in school and stay enrolled than older youth and those in adult facilities.

- The information provided to youth while in the facility on how to continue their education or training after release appears to have little influence on whether or not they do so.

- Following release, most participants return to their families in the community they came from prior to institutionalization.

- Most participants found jobs after being released. At the first followup, among the released youth studied, 67 percent were employed, while at the second followup, 76 percent were employed. The employment rate was virtually the same for youth from juvenile facilities and adult correctional facilities. Study data suggest, however, that the youth who find work have problems holding a job. For example, two-thirds of the youth studied who had been in the community at least five months had held more than one job since their release. For those who find work, the work is low paying. The youth work an average of 35 hours a week and the average hourly wage was $4.75.

- Slightly less than 10 percent of participants had been reinstitutionalized by their second post-release interview.

Management Improvement Strategies

The Study of the Chapter 1 N or D program (III.3) identified the following characteristics of effective practices and improvement strategies in Chapter 1 N or D programs:

- Facility administrators view education as a primary institutional goal. Education administration is structured separately from corrections administration.

- State education administrators support the N or D program and facilitate communication with SA administrators. State agency administrators, in turn, facilitate communication with educational administrators at the facility level.

- Both SEA and SA staffs contribute to effectiveness by conducting regular audits, establishing and maintaining high State standards, supporting staff efforts, and assisting in preparing the Chapter 1 application.

- Chapter 1 funds are used as seed money for designing and implementing innovative programs.

- Effective programs coordinate instruction between the Chapter 1 and regular programs. Techniques used include:

    - diagnostic assessment processes involving Chapter 1 and regular program staff and joint review of test scores;

    - joint planning between Chapter 1 staff and regular education program staff and coordination of content and skills instruction; and

    - additional in-class instruction for Chapter 1 students by regular education teachers, and joint development of plans for each student's learning objectives.

- Team teaching and cooperative learning strategies are used to integrate objectives for the regular and Chapter 1 students and to diminish the visible distinction of lower-achieving students.

- Motivational approaches such as awards, certificates, contests, use of high-interest materials, and promotion of students to the position of "teacher's helper" are used in effective programs.

- Effective programs continuously monitor student progress through frequent teacher-student interaction.

III. SOURCES OF INFORMATION

1. A Summary of State Chapter 1 Participation and Achievement Information for 1988-89 (Washington, DC: Westat, Inc., 1991).

2. Unlocking Learning: Chapter 1 in Correctional Facilities. Descriptive Study Findings: National Study of the Chapter 1 Neglected or Delinquent Program (Rockville, MD: Westat, Inc., 1991).

3. Unlocking Learning: Chapter 1 in Correctional Facilities. Effective Practices Study Findings: National Study of the Chapter 1 Neglected or Delinquent Program (Rockville, MD: Westat, Inc., 1991).

4. Unlocking Learning: Chapter 1 in Correctional Facilities. Longitudinal Study Findings: National Study of the Chapter 1 Neglected or Delinquent Program (Rockville, MD: Westat, Inc., 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Mary Jean LeTendre, (202) 401-1682

Program Studies : Daphne Hardcastle, (202) 401-1958

EVEN START PROGRAM
(CFDA No. 84.213)

I. PROGRAM PROFILE

Legislation: Title I, Chapter 1, Part B of the Elementary and Secondary Education Act, as amended by P.L. 100-297 (20 U.S.C. 2741-2749) (expires September 30, 1993).

Purpose: The Even Start program supports family-centered educational programs that involve parents and children in a cooperative effort to help parents become full partners in the education of their children and to assist children in reaching their full potential as learners. To accomplish this, the program funds competitive discretionary grants to local education agencies that must coordinate with other local programs providing services relevant to Even Start families. [1]

Congress also expects the program to yield information of use to policymakers and to States and local agencies planning family education programs. The Even Start legislation requires annual independent evaluations of all projects and requires projects to apply to the National Diffusion Network for consideration as dissemination sites based on their evaluation findings.

Funding History:

Fiscal Year	Appropriation
1989	$14,820,000
1990	24,201,000
1991	49,770,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Even Start program addresses two national goals. First, the projects work with families with both an eligible child and adult. The projects provide early childhood education for the children and instruct the parents in ways to develop their child's school readiness and to support the child in school. This component of the program supports Goal 1, school readiness. In addition, Even Start projects provide or arrange for adult basic skills training for the parents. This activity directly supports Goal 5, adult literacy.

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[1] The FY 1992 appropriation for Even Start of $70,000,000 exceeded the level at which Even Start becomes a State grant program. In FY 1992, grants will be made to State education agencies which will in turn provide subgrants to local education agencies.

Performance Indicators

Beginning with the first year of implementation for Even Start, school year 1989-90, a national evaluation was funded to assess the program's implementation and outcomes.

The national evaluation found that the first year's implementation successfully introduced the key features of the new Even Start legislation. First, Even Start projects served the intended population--a very poor, educationally disadvantaged population with about 71 percent of families with incomes under $10,000. Second, the projects provided comprehensive services to participating families, including not only three core services (early childhood education, adult basic skills education, and parenting education) but also a range of services such as child care, transportation, help with dealing with social service agencies, and other services designed to reduce barriers to participation.

Finally, projects provided services for their families by collaborating with a variety of other agencies, including Head Start, Chapter 1 preschool, and local Adult Education programs. The projects used Even Start funds to "fill in the gaps," as is required in the legislation.

Population Targeting

Even Start is aimed at families where one or both of the parents need basic skills education and which have at least one child ages 1 through 7[2]. In addition, the child must reside in a Chapter 1-participating attendance area. In most cases, qualifying parents either did not graduate from high school and need adult basic skills education or General Education Development (GED) training, or have limited English proficiency and need English as a Second Language instruction.

During the program's first year:

- More than 2,800 families received services, including 4,500 adults and 4,800 children. Even Start served the intended population: All of the participating households had at least one child between the ages of one and seven, and 78 percent of adults who participated in core services had not completed high school.
- Even Start families are very poor. About 71 percent of Even Start families had an income under $10,000. Job wages were the primary source of income for only 52 percent of families; government assistance was the primary source for 48 percent.

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[2] Amendments to Even Start in P.L. 102-73 changed the eligibility requirement for children to permit children ages birth through 7 to participate. This change took effect in school year 1991-92.

- About 50 percent of the Even Start families described themselves as couples with children, 40 percent were single parents, and 10 percent described themselves as extended families or having other living arrangements.

- The age distribution of adult participants is as follows: 11 percent were 21 years old or younger, 47 percent ages 22 through 29, and 33 percent ages 30 through 39.

- Most adult participants were female (82 percent).

- Racial/language distribution for adults and children was: white (39 percent), black (35 percent), Hispanic (15 percent), Native American (7 percent), and Asian/Pacific Islander (3 percent).

- English was the primary language for 79 percent of the adults, while Spanish was the primary language for 15 percent.

- Projects reported that 4 percent of the adults and 7 percent of the children had disabilities.

Services

Even Start provides three core services -- early childhood education, training for parents in how to support the educational growth of their children, and adult basic skills instruction.

A local program must provide some home-based instructional services to the parents and children together. Programs must also coordinate with other relevant programs, including Chapters 1 and 2 of the Elementary and Secondary Education Act, the Adult Education Act, the Education of the Handicapped Act, the Job Training Partnership Act, the Head Start program, volunteer literacy programs, and others.

Programs must provide special training to ensure that staff have the skills necessary to work with the parents and children.

In 1990-91, 120 Even Start projects received continuation funding and 114 new Even Start projects began, for a total of 234 projects (III.2).

Core services delivered

- In general, Even Start projects took advantage of the fact that adult education and early childhood education services exist in most communities and arranged for these core services to be provided through cooperating agencies. Even Start projects used their own funds to design and deliver parenting education and "adult/child together" activities, and support services.

- Over 90 percent of the projects provided services to prepare adults to obtain a GED, about 80 percent provided adult basic education, and 54 percent provided English as a second language instruction. However, only about 30 percent of the projects provided these services on their own; about 20 percent shared responsibility with cooperative agencies, and 30 percent delegated full responsibility to an external agency.

- Most Even Start projects provided a wide range of parenting education services in the first year, including training in behavior management, child development, the role of parents in education, school routines, health and nutrition, life skills, and other topics. About half of the projects provided the instruction directly, 25 percent shared responsibility with other agencies or organizations, and 10 percent delegated responsibility to other agencies.

- For early childhood education, over 60 percent of the projects enrolled some of their participating children in Head Start, almost 40 percent enrolled children in a Chapter 1 pre-K program, and almost 80 percent also provided some other preschool option. For children old enough to be in public school, 76 percent of the projects participated in joint planning activities with the schools. Very few of the projects provided early childhood education directly. Most used cooperating agencies for this service.

- Almost all of the projects (over 90 percent) reported that they had provided a wide range of core services for parents and children together by the end of the first reporting period of the first year. Activities included reading and story telling, developing school readiness skills, social development and play, development of gross motor skills, work with numbers, and arts and crafts. More than 80 percent reported providing health and nutrition services, and about 60 percent reported computer-related activities.

Support services

- Transportation, family advocacy assistance, and child care were the most commonly provided support services. These services were typically funded through the Even Start budget. Other support services, such as health care and child protective services, were more often provided by cooperating agencies.

- About 36 percent of children and 28 percent of adults who participated in core services made no use of support services.

Cooperative arrangements

- Collaboration with other agencies was a key focus for Even Start projects, with the 73 projects funded in the first year of the program entering into 869 cooperative arrangements to provide core services. The most frequent arrangements were with other units within the public schools, local governmental agencies, postsecondary institutions, community-based organizations, and Head Start programs.

Program Administration

Even Start is a complex program which requires time to implement fully. In the first year, local projects reported a number of implementation problems, including difficulties in working with cooperating agencies, finding staff, lack of transportation for families, and recruiting families.

While 40 percent of the families enrolled in Even Start participated in all three core services during the first year, differences in the speed with which individual projects implemented core services and differences in the commitment of family members to full participation in Even Start services meant that there were large differences among Even Start projects with respect to the extent of participation.

Only three projects had all of their families at the fullest level of participation during the 1989-90 program year. However, nearly half of the projects had more than 60 percent of their families fully participating. Adult basic education was the core service with the greatest amount of variability in implementation; participation for early childhood education was higher; and parenting education was delivered by more projects to higher proportions of their clients.

Management Improvement Strategies

The Even Start legislative authority requires independent annual evaluations of the local programs, including assessment of program effectiveness using rigorous methodology and application for participation in the National Diffusion Network to disseminate effective practices. To respond to this requirement, the Department of Education funded a national evaluation contractor to work collaboratively with the projects in evaluation data collection and analysis. The Department also provided extra funds to each grantee for evaluation activities. The contractor analyzes data reported by all projects and collects and analyzes data in an in-depth study of 10 sites.

The evaluation contractor provides regular feedback to the projects on their progress and prepares annual reports for dissemination to Congress and interested persons. The Department also holds annual conferences with local project directors and evaluators to discuss the findings of the evaluations and review the need for any changes in the evaluation system.

III. SOURCES OF INFORMATION

1. National Evaluation of the Even Start Family Literacy Program, First Year Report (Cambridge, MA: Abt Associates, Inc., October 1991)

2. Program files.

IV. PLANNED STUDIES

A national evaluation of the Even Start program started in January 1990 and will provide a final report to Congress in September 1993. The first year report is available.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Tish Rennings (202) 401-0716

Program Studies : Nancy Rhett (202) 401-3630

FEDERAL, STATE, AND LOCAL PARTNERSHIP FOR EDUCATIONAL IMPROVEMENT
(CFDA No. 84.151)

I. PROGRAM PROFILE

Legislation: Chapter 2 of Title I of the Elementary and Secondary Education Act (ESEA) of 1965, as amended (20 U.S.C. 2911 et seq.) (expires September 30, 1993).

Purpose: To help State education agencies (SEAs) and local education agencies (LEAs) improve elementary and secondary education, meet the special educational needs of at-risk students, and support effective schools programs. SEAs and LEAs have discretion over the design and implementation of Chapter 2 programs.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	$442,176,000	1987	$500,000,000
1983	450,655,000	1988	478,700,000
1984	450,655,000	1989	462,977,000
1985	500,000,000	1990	457,198,000
1986	478,403,000	1991	449,884,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Chapter 2 program provides support for early childhood education programs to foster children's readiness to learn in school (Goal 1). The program also supports the costs of educational resources, professional development, and instructional activities across all content areas (Goal 3), including math and science (Goal 4). Finally, the program's purposes specifically highlight the authority to support programs for students at risk of dropping out to increase the school graduation rate (Goal 2), and for programs of health education and activities to make schools free of drugs and violence (Goal 6).

Population Targeting

The statute contains no specified targeting provisions. However, SEAs are required to distribute funds to LEAs based on a State-determined formula that is adjusted for those districts whose students educations have a higher than average cost. SEAs and LEAs also have discretion to target Chapter 2 funds on groups such as students at risk of failure in school and of dropping out, students participating in gifted and talented and early childhood education programs, and education personnel who could benefit from staff development.

In the past, Chapter 2 activities tended to serve all types of students, focusing neither on particular grade levels nor on particular student groups. However, some districts targeted Chapter 2 activities to particular types of students; for instance, gifted and talented students benefitted from curriculum development, whereas economically and educationally disadvantaged students tended to receive instructional services (III.1).

Services

The 1986 national evaluation of the Chapter 2 program under the Education Consolidation and Improvement Act found that districts tended to use their Chapter 2 monies to fund the following diverse types of activities (III.1):

- computer applications (including hardware and software);
- libraries/media centers (including materials and equipment); and
- curriculum development, staff development, instructional services, and student support services.

Chapter 2 fully or partially supported the introduction of computer technology into three-quarters of the Nation's school districts (III.1).

Private school children also benefitted from Chapter 2 services, particularly through the provision of library materials and computer equipment and supplies (III.1).

Program Administration

An examination of States' Chapter 2 applications, containing budgeted amounts for FY 1989, provided data on planned uses of funds by SEAs (III.2):

- SEAs reserved nearly $91 million for their use; of that, $15 million (17 percent) was for Chapter 2 administration and $76 million (83 percent) for Chapter 2 program activities.
- Funds for program activities at the State level were divided among the six targeted assistance areas in the following manner:

- 42 percent for schoolwide improvement programs, including "effective schools" programs;
- 16 percent for programs for at-risk students;
- 15 percent for professional development programs;
- 12 percent for special programs including technology education, gifted and talented education, early childhood education, and community education;
- 8 percent for programs to acquire and use educational materials to improve instruction; and
- 7 percent for programs to enhance student achievement and personal excellence, including health, physical education, and the creative arts.

o Forty-four of 52 States budgeted a total of $22,615,903 for effective schools programs. The remaining eight received a waiver from the requirement to spend at least 20 percent of SEA funds for this purpose.

o Twenty-six States budgeted more than the minimum required for effective schools programs, with nine States budgeting more than 40 percent of their Chapter 2 funds.

III. SOURCES OF INFORMATION

1. A National Study of Local Operations Under Chapter 2 of the Education Consolidation and Improvement Act of 1981 (ECIA) (Menlo Park, CA: SRI International, January 1986).
2. Program files.

IV. PLANNED STUDIES

Beginning with data from the 1989-90 school year, the Secretary of Education must annually submit a report to Congress on the use of funds, the types of services furnished, and the students served under the program.

In October 1992, the Secretary of Education must submit a report to Congress on the effectiveness of Chapter-2-supported activities, based on the evaluations conducted by States.

During FY 1990, the Department contracted with SRI International for a statutorily mandated national study of effective schools programs to describe such programs and the effects of Federal, State, and local policies and funding sources on such programs. The study will focus in particular on the use of Chapter 2 State funds to support and leverage effective schools strategies. The study will also attempt to assess the impact of such programs on students and schools. Study results will be available by January 1993.

During FY 1991, the Department contracted with Policy Studies Associates and SRI International for a national evaluation of the implementation of the Chapter 2 program. The study will describe how Chapter 2 funds are used at the State and local levels, characterize the nature of the activities (pilots, ongoing, innovative), and assess how the Chapter 2 program is supporting education reform and the six national education goals.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Lee Wickline, (202) 401-1062

Program Studies : Barbara Coates, (202) 401-1958

GENERAL ASSISTANCE TO THE VIRGIN ISLANDS

(No CFDA number)

I. PROGRAM PROFILE

Legislation: Section 4501 of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 3141) (expires September 30, 1993).

Purpose: To provide general assistance to improve public education in the Virgin Islands.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$3,000,000	1986	$4,784,000
1981	2,700,000	1987	5,000,000
1982	1,920,000	1988	4,787,000
1983	1,920,000	1989	4,730,000
1984	1,920,000	1990	4,391,000
1985	2,700,000	1991	4,366,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

As this program provides general assistance, it does not address any specific goal but can be applied to all goals.

Population Targeting

In fall 1990, public elementary and secondary school enrollment was approximately 21,750 in the Virgin Islands (III.1). These students tend to have extremely high educational needs relative to the needs of students in the States. According to an index based on educational deficiencies that includes several student and family background characteristics, the Virgin Islands ranks first among all States and the District of Columbia in educational needs (III.2). The National Assessment of Educational Progress (NAEP) 1990 mathematics assessment shows the Virgin Islands ranking last on eighth-grade math proficiency. Teachers of eighth-grade math in the Virgin Islands were twice as likely as teachers nationally to say they got some or none (as opposed to all) of the resources they needed; two-thirds (66 percent) of the teachers in the Virgin Islands indicated this response on the NAEP questionnaire (III.3).

Services

Services include general maintenance and repair of school buildings; asbestos abatement; classroom construction; and the provision of textbooks, materials, and supplies (III.4).

III. SOURCES OF INFORMATION

1. Common Core of Data Survey, unpublished tabulations (Washington, DC: National Center for Education Statistics, U.S. Department of Education, 1991).
2. Analysis of Factors Relating to Federal General Assistance to the Virgin Islands (Washington, DC: Pelavin Associates, Inc., 1988).
3. The State of Mathematics Achievement, (Washington, DC: National Center for Education Statistics, U.S. Department of Education, 1991).
4. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Lee E. Wickline, (202) 401-1062

Program Studies : Daphne Hardcastle, (202) 401-1958

CIVIL RIGHTS TECHNICAL ASSISTANCE AND TRAINING
(CFDA No. 84.004)

I. PROGRAM PROFILE

Legislation: The Civil Rights Act of 1964, Title IV, Public Law 88-352, (42 U.S.C. 2000c-2000c-2, 2000c-5) (no expiration date).

Purpose: To award grants to State education agencies (SEAs) and desegregation assistance centers (DACs) to enable them to provide technical assistance, training, and advisory services at the request of public school districts in the preparation, adoption, and implementation of plans for the desegregation of public schools and the development of effective methods to cope with education problems associated with desegregation on the basis of race, sex, and national origin.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$8,028,000	1985	24,000,000
1970	17,000,000	1986	22,963,350
1975	26,700,000	1987	23,456,000
1980	45,667,000	1988	23,456,000
1981	37,111,000	1989	23,443,000
1982	24,000,000	1990	21,451,000
1983	24,000,000	1991	21,329,000
1984	24,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program focuses on how school districts can achieve the six National Goals within integrated public school environments.

Population Targeting

School districts requesting assistance in dealing with education problems associated with desegregation.

Services

SEAs and DACs provide technical assistance and training to school districts upon request, to help them deal with problems related to desegregation. Typical activities might include disseminating information on successful education practices and legal requirements related to nondiscrimination on the basis of race, sex, and national origin in educational programs; training designed to develop educators' skills in specific areas, such as the identification of race and sex bias in instructional materials; and technical assistance in the identification and selection of appropriate educational programs to meet the needs of limited-English-proficient students.

According to on-site monitoring reports on 15 of 63 projects funded in FY 1989, quarterly requests for technical assistance and/or training have increased. This is, in part, the result of the combined Magnet Schools/Title IV conference held in 1989. Centers may vary considerably in size and staff needs, reflecting differences in requests for assistance from eligible school districts. In the west and northwest, grantees reported 301 requests from school districts. The northeast region received over 4,121 requests for assistance. Awards are made based on the level of activity, in the past and anticipated, in the region. It is estimated that approximately 40 percent of the project funds are used for technical assistance and approximately 60 percent are used for training.

Program Administration

SEAs apply for grants to provide services statewide in one or more of the three desegregation assistance areas. Pursuant to regulatory changes implemented in 1987, the number of DACs was reduced from 40 to 10 and each DAC was required to provide comprehensive assistance in all three desegregation assistance areas. In addition, DACs compete for multi-year awards. Currently, of the 10 regional DACs, five are administered by institutions of higher education and five by nonprofit organizations.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Janice Williams-Madison, (202) 401-0344

Program Studies : Barbara Coates, (202) 401-1958

FOLLOW THROUGH--GRANTS TO LOCAL EDUCATION AGENCIES AND OTHER PUBLIC AND PRIVATE NONPROFIT AGENCIES, ORGANIZATIONS AND INSTITUTIONS TO PROVIDE COMPREHENSIVE SERVICES TO LOW-INCOME CHILDREN IN KINDERGARTEN AND THE PRIMARY GRADES

(CFDA No. 84.014)

I. PROGRAM PROFILE

Legislation: The Follow Through Act, Title VI, P.L. 97-35, as amended (42 U.S.C. 9861-77) (expires September 30, 1994).

Purpose: To sustain and augment, in kindergarten and the primary grades, the gains that children from low-income families make in Head Start and other preschool programs of similar quality by (1) providing comprehensive services that will help these children develop to their full potential; (2) achieving active participation of parents; (3) producing knowledge about innovative educational approaches specifically designed to assist these children in their continued growth and development; and (4) demonstrating and disseminating effective Follow Through practices.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1968	$15,000,000	1985	$10,000,000
1970	70,300,000	1986	7,176,000
1975	55,500,000	1987	7,176,000
1980	44,250,000	1988	7,133,000
1981	26,250,000	1989	7,262,000
1982	19,440,000	1990	7,171,000
1983	19,440,000	1991	7,265,000
1984	14,767,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Follow Through grants provide comprehensive educational support for low-income children who have participated in Head Start or other similar quality preschool programs. This support continues in kindergarten and the primary grades and is designed to help ensure that gains acquired in the early years are not lost. Providing continued comprehensive support to children supports Goals 2 and 3.

Population Targeting

In FY 1991, the Department of Education funded 42 projects (10 sponsors and 30 LEAs and 2 research grants). The program gave priority to LEA projects operating in Chapter 1 schools designated as schoolwide projects; as a result, 20 of the LEA grants were awarded to districts serving children in schoolwide projects. These projects were awarded for a three- to five- year period.

A local Follow Through project must serve primarily low-income children enrolled in kindergarten and primary grades who have participated in a full-year Head Start or similar preschool program, including other federally assisted preschool programs of a compensatory nature.

At least 60 percent of the children enrolled in each project must be from low-income families and at least 60 percent of the children must have had preschool education. Schoolwide project schools must enroll at least 75 percent of their children from low-income families. When Follow Through is operating in a Chapter 1 schoolwide project, no restriction is imposed regarding the percent of participants from low-income families or with previous preschool experience.

Services

Typically, projects--

- implement an innovative educational approach specifically designed to improve the school performance of low-income children in kindergarten and the primary grades;
- are implemented in regular classrooms and provide supplementary or specialized instruction and education-related services to all students in the classroom;
- orient and train Follow Through staff, parents, and other appropriate personnel;
- provide for the active participation of Follow Through parents in the development, conduct, and overall direction of the local project;
- provide health, social, nutritional, and other support services to aid the continued development of Follow Through children; and
- demonstrate and disseminate information about effective Follow Through practices for the purpose of encouraging adoption of those practices by other public and private schools.

A review, commissioned by the program, of Follow Through from 1967 to 1987 (III.1) indicates that:

- Follow Through students have demonstrated gains that at least match, and often exceed, national and population-specific norms. The former Joint Dissemination Review Panel (JDRP) of the Department of Education validated 48 local Follow Through projects representing a total of 13 different Follow Through model programs. Student achievement is one of the primary criteria used for validation.

- Follow Through students tended to experience less grade retention, lower dropout rates, and fewer special education placements in their later years compared to siblings and other comparison groups who had not had opportunities for early intervention.

- The program has been widely disseminated by the Follow Through grantees. This diffusion of model programs has affected the education of more than two million children over a period of two decades.

- The collaboration of local schools/districts and researchers has led to the development and application of diverse and creative solutions that bridge the gap between theory and practice.

- Follow Through projects show high levels of parental involvement in a variety of activities. These include membership on Parent Advisory Committees; participation in classrooms as observers, volunteers, and paid employees; and home visits and other contact between school personnel and families for the purpose of sharing instructional material/activities. Participation in education-related and community decision making can be directly linked to some increases in student achievement.

Program Administration

In FY 1991, the Follow Through program, under regulations published in the Federal Register on April 12, 1991, funded 40 projects.

III. SOURCES OF INFORMATION

1. Margaret C. Wang and Eugene A. Ramp. The National Follow Through Program: Design, Implementation, and Effects (Philadelphia, PA: November 1987).

2. Margaret C. Wang and Herbert J. Walberg. The National Follow Through Program: Lessons from Two Decades of Research Practice in School Improvement, (unpublished) October 1988, ED 336191.

3. Program files.

IV. PLANNED STUDIES

In FY 1991, each project was required to submit a final report in an OMB-approved format. The program office uses these reports as documentation for closing out the grant. A Follow Through grantee is using the reports to develop a sourcebook that will include descriptions of each project funded, a description of the accomplishments of the three-year effort, and an analysis of the evaluation data submitted in the final report from each project. The sourcebook will be available in FY 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Mary Jean LeTendre, (202) 401-1682
Program Studies	:	Elois M. Scott, (202) 401-1958

IMPACT AID:
MAINTENANCE AND OPERATIONS
(CFDA No. 84.041)

I. PROGRAM PROFILE

Legislation: P.L. 81-874, as amended (20 U.S.C. 236-241-1 and 242-244) (expires September 30, 1993).

Purpose: Impact Aid is intended to compensate local school districts for burdens placed on their resources by Federal activity, either through Federal ownership of property in the district (which, because it is tax-exempt, may decrease funds available for education), or through the addition of "federally-connected children" to the number of students that it would ordinarily need to educate. Federally-connected children include "a" children, those who both live and have parents who work on Federal property, and "b" children, those who either live on Federal property or have parents who work on Federal property. Included in these categories are children living on or having parents who work on Indian lands, and children who have a parent who is on active duty in the uniformed services.

Section 2 provides aid to districts with federally-owned property, based on the Department of Education's estimate of the local revenue that the local education agency (LEA) would have received from the eligible Federal property if that property had remained on the tax rolls.

Section 3 provides aid to districts with federally-connected children; the amount varies with the classification of the children and is highest for "a" children, who presumably create the greatest burden on local resources. Higher payments are made for children living on Indian lands and for children with disabilities. Payments are also increased for districts with higher proportions of federally-connected children, i.e., 15 percent or more "a" children in the district or 20 percent or more "b" children. A minimum of 3 percent or 400 children in average daily attendance in a district must be federally-connected for a district to be eligible to receive aid.

In addition, Section 6 schools, primarily for children of military families who reside on Federal property, are currently operated and funded by the Department of Defense (DoD).

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1951	$ 28,700,000	1984	$580,300,000 2/
1965	332,000,000	1985	675,000,000
1970	507,900,000	1986	665,975,000 3/
1975	636,016,000	1987	695,000,000
1980	792,000,000 1/	1988	685,498,000
1981	706,750,000	1989	708,396,000
1982	437,000,000	1990	717,354,000
1983	460,200,000	1991	754,361,000

1/ Includes $20 million supplemental appropriation for disaster assistance.
2/ Includes $15 million supplemental appropriation for disaster assistance.
3/ Includes $20 million supplemental appropriation for disaster assistance.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Since Impact Aid funds provide general aid to eligible school districts, these funds can support a variety of activities that promote any or all of the six National Goals.

Population Targeting

Impact Aid is paid directly to eligible school districts and becomes part of their general operating funds. The only restriction on its use is that the extra payments made on behalf of children with disabilities must be used for special educational services designed to meet the needs of those children. In addition, disaster assistance funds must be used for allowable and approved costs related to a Presidentially-declared disaster.

One of the most pressing problems in the Impact Aid program is inequity in the distribution of Section 3 payments. First, payments are made for many children who do not impose a real burden on their school district, diverting scarce Federal resources away from districts that are more truly burdened by Federal activities. There is no evidence that "b" children, those who either live on Federal property or have parents who work on Federal property, represent a substantial burden to their school district that is not otherwise compensated by the economic activity generated by the Federal presence. Because appropriations have historically been well below total entitlements and payments must be pro-rated, payments for "b" children divert scarce funds from districts with "a" children, who represent a far greater burden on their district. To improve the equity of Section 3 allocations, ED has proposed legislation to provide payments only for "a" children.

Further, several statutory provisions have the effect of inequitably providing substantially larger payments to districts with only slightly more Section 3 students. Districts that meet the eligibility threshold are compensated for all of their federally-connected students, while districts that fall just below the threshold receive nothing. Again, because payments are typically pro-rated below full entitlement levels, this provision shifts money to districts that just barely meet the threshold at the expense of districts that are more heavily impacted by Federal activities. Similarly, districts that have high concentrations of federally-connected students ("super a" and "sub-super a" districts) are currently entitled to a higher payment rate for all of their federally-connected students. To improve equity in the distribution of Section 3 funds, ED has proposed amendments that would compensate districts only for students in excess of the thresholds.

A 1988 analysis (III.4) examined the distribution of Impact Aid funds to districts that differ in size, wealth, and spending, as measured by student enrollment, property valuation per pupil, and current operating expenditures per pupil. The study found that, in general, a larger than expected proportion of Impact Aid goes to districts that are small, low in property wealth, or high in per-pupil expenditures:

- Districts with fewer than 2,000 students made up 17.5 percent of total school enrollment but received over 35 percent of program funding, while districts with enrollments of over 25,000--about 26 percent of total enrollment--received about 16 percent of program funding.

- Almost half of the funds go to districts with low property wealth (those in the lowest quartile); however, districts with high property wealth (in the upper quartile) receive a significant share (17 percent) of program funding.

- School districts in the highest quartile of expenditures in the States received nearly 2.5 times as much Impact Aid as districts in the lowest quartile of expenditures. The highest-expenditure districts alone received about $211 million, while districts in the highest two quartiles received $362 million--about 63 percent of program funds.

- The highest-expenditure districts, with 25 percent of total enrollment, received over 37 percent of program funding, whereas the lowest-expenditure districts, with 24 percent of enrollment, received only about 15 percent of program funding.

Funds under Section 3(a) were concentrated in districts with high expenditures, low property values, and small enrollments, whereas funds under Section 3(b) are relatively evenly distributed across districts with high and low expenditures and are heavily concentrated in school districts with large enrollments.

- For Section 3(a), districts in the highest expenditure quartile received nearly 3.5 times as much funding as districts in the lowest quartile: $179.3 million compared with $52.9

million. The districts in the two highest quartiles together received more than $290 million, about 67 percent of program funding.

- The lowest quartile in property wealth received 55 percent of Section 3(a) funds; the two highest quartiles combined received 32 percent of these funds.

However, because Section 3(a) represented over 75 percent of total Section 3 funding in FY 1985, overall a larger share of funding went to high-expenditure districts than would be expected from the proportion they represent among Impact Aid districts.

Because this study did not examine the distribution of Impact Aid relative to other district revenues, no conclusion was reached on whether high-expenditure districts would have high revenues without Impact Aid. Further study would be needed to determine whether Impact Aid recipients tend to be high-expenditure districts due to other Federal, State, and local resources, or whether their relative affluence is largely due to Impact Aid revenues.

Services

In FY 1991, 2,539 school districts received Section 3 payments totaling $724,108,000 and 260 districts received Section 2 payments totaling $16,590,000, which became part of the general operating funds of the districts. In addition, 36 school districts received disaster assistance totaling $8,100,000.

Program Administration

Calculating Section 2 entitlements currently requires a cumbersome computation of a "need-based entitlement," based on current revenue, expenditures, total assessed value of real property in the district, and estimated current assessed value of the Federal property, as well as a "maximum entitlement," based on estimated current assessed value of Federal property and the district's tax rate. The lesser of the two entitlements is then pro-rated to determine the actual payment. Because the fiscal data needed to compute the need-based entitlement do not become available until after the fiscal year for which the payments are made, Section 2 payments are delayed for many months. Furthermore, the need-based entitlement calculation has little effect on the actual amount of final payments. To improve the efficiency of Section 2 administration and allow more timely payments, ED has proposed legislation to base Section 2 payments solely on maximum entitlement.

Management Improvement Strategies

To improve the efficiency of operations, the Impact Aid program is preparing operating manuals detailing program procedures on Payments, Construction, Maintenance and Operations, and Property. All manuals will contain the new procedures for automatic clearinghouse/electronic funds transfer.

A study of the Impact Aid program's computer system was conducted in 1989. The study recommended that the system be reorganized and updated to improve the efficiency of information processing and to increase access to data for program staff. The study described two alternative types of computer systems that would achieve the desired improvements (III.5). After reviewing these recommendations, the Department decided to redevelop the entire system over the course of three fiscal years. Automation of front-end data preparation, entry and error-correction was completed in December 1990, in time for receipt of FY 1991 applications. System outputs were redeveloped in FY 1991 and additional work will include redevelopment of internal processing in FY 1992.

The President's budget for FY 1992 and FY 1993 proposed a legislative change that would authorize the program to use previous year student counts and related data to calculate current year payments. This change would enable the program to award funds six to eight months earlier than under currently authorized provisions, and, although not accepted by the Congress for FY 1992, the proposal is likely to be raised again. In addition, the President's budget requested that no funds be appropriated for the Disaster Assistance program (Section 7) and that responsibility be transferred to the Federal Emergency Management Agency (FEMA); this change has been approved and implemented.

III. SOURCES OF INFORMATION

1. Review of Selected Impact Aid Recipients to Determine Burden of Federal Activities and Need for Federal Aid [prepared for the Office of Planning, Budget and Evaluation, U.S. Department of Education] (Washington, DC: Pelavin Associates, Inc.); Joel D. Sherman and Orestes I. Crespo, Case Study: Highland Falls--Fort Montgomery Central School District (October 1985); Joel D. Sherman and Mark A. Kutner, Case Study: Bourne Public Schools, Bourne, Massachusetts (August 1986); Joel D. Sherman, Mark A. Kutner, and Orestes I. Crespo, Case Study: Bellevue Public Schools, Bellevue, Nebraska (August 1986); Joel D. Sherman, Case Study: Douglas School District (August 1986); Joel D. Sherman and Orestes I. Crespo, Case Study: Randolph Field Independent School District (August 1986).

2. General Accounting Office, DoD Schools: Funding and Operating Alternatives for Education of Dependents (Washington, DC: U.S. Government Printing Office, December 1986).

3. Susan Bodilly, Arthur Wise, and Susanna Purnell, The Transfer of Section 6 Schools: A Case by Case Analysis [prepared for the Office of the Assistant Secretary of Defense/Force Management and Personnel] (Santa Monica, CA: The RAND Corporation, July 1988).

4. Joel D. Sherman, Analysis of the Wealth of School Districts that Receive Impact Aid [prepared for the Office of Planning, Budget and Evaluation, U.S. Department of Education] (Washington, DC: Pelavin Associates, April 1988).

5. Dave Naden, Office of Impact Aid Computer System: Feasibility Study [prepared for the Office of Planning, Budget and Evaluation, U.S. Department of Education] (Washington, DC: Decision Resources Corporation, 1989).

IV. PLANNED STUDIES

In FY 1992, ED is commissioning a set of papers on topics related to the implementation of Section 5(d)(2), which allows States with school finance systems that ED has certified as "equalized" to reduce State aid to school districts that receive Impact Aid. Authors will be asked to: 1) analyze and critique the current standards used to certify a state as equalized; 2) develop a set of ideal standards and measures for certifying states as equalized; 3) suggest incentives the Federal Government could use to encourage greater equalization in State school finance systems; 4) address standards of equalization emerging from recent school finance litigation; 5) consider alternative measures of school resources and inputs; 6) examine cost of education adjustments to educational expenditures; and 7) examine measures of equalization that incorporate the problem of educational overburden in large, urban school districts.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Charles Hansen, (202) 401-3637

Program Studies : Stephanie Stullich, (202) 401-1958

IMPACT AID: CONSTRUCTION
(CFDA No. 84.040)

I. PROGRAM PROFILE

Legislation: P.L. 81-815, as amended (20 U.S.C. 631-647) (expires September 30, 1993).

Purpose: Impact Aid provides funds for the construction of urgently needed minimum school facilities in districts whose enrollments have been substantially increased during a four-year period by Federal activities (section 5) or in financially needy districts that have large amounts of Indian lands or educate a substantial number of children living on Indian lands (sections 14a and b). Funds are also provided for districts that have a substantial number of children living on Federal property or have a substantial portion of other Federal (tax-exempt) property (section 14c). In addition, funds are provided for construction and repair of schools for children residing on Federal property (usually military installations) where State and local tax revenues cannot be spent for their education or a suitable education cannot be provided for those children (section 10).

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1951	$74,500,000	1984	$20,000,000
1965	58,400,000	1985	20,000,000
1970	14,766,000	1986	16,747,500
1975	20,000,000	1987	22,500,000
1980	33,000,000	1988	22,978,000
1981	50,000,000	1989	24,700,000
1982	19,200,000	1990	14,998,000[1]
1983	80,000,000	1991	26,349,000

[1] Congress did not appropriate funds for sections 5 and 14(c).

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Because Impact Aid school construction funds are used by the eligible school districts to provide local facilities, these funds indirectly support a variety of school-based educational activities that may promote any or all of the six National Goals.

Population Targeting

The program has not been fully funded since 1967 and the limited annual appropriations have caused interest in the program to decline so that only 38 new applications, on average, are received each year. Even so, appropriations fall far short of the Federal share of estimated costs for approved applications, resulting in a substantial backlog of eligible unfunded projects (III.2). Current program priority lists include hundreds of unfunded construction applications totalling over $200 in originally estimated need.

A 1987 study by the Departments of Education and Defense surveyed the construction and repair needs of educational facilities on U.S. military bases (Section 10) and recommended policies to deal with these needs. The study found that 124 existing on-base school facilities had renovation and repair needs totalling an estimated $183 million, including schools owned or operated by the Department of Defense ($93 million), the Department of Education ($74 million), and local education agencies ($16 million) (III.1).

The study recommended that the cost of meeting verifiable school facility needs should be shared among local, State, and Federal agencies according to fiscal cost-benefit analyses. These fiscal analyses would compare revenues and expenditures generated by military installations in order to determine the fair share of construction costs to be borne by local, State, and Federal agencies. For ED-owned schools, Federal assistance would be contingent upon the LEAs accepting ownership of the facilities once the repairs or renovations are complete. For DoD-funded Section 6 schools, case-by-case fiscal analyses would be used to determine the feasibility of transferring ownership to LEAs.

In response to this study the Department of Education has taken the following steps:

- Fiscal analyses of several school districts identified in the report have been completed while others are still being conducted by the Department of Defense.

- The Department of Education has identified several school districts that are interested in accepting title to the ED-owned school facilities in their districts. Facilities at three installations have already been transferred, and negotiations are continuing for transfer of facilities at other installations.

Services

In FY 1991, 11 school districts received funds for construction of needed facilities, totaling $20,555,582 in grants (Sections 5 and 14). In addition, $18,404,752 was spent on 13 projects for the transfer of facilities, asbestos abatement, and emergency repairs of school buildings owned by ED (Section 10).

Program Administration

A 1990 General Accounting Office (GAO) study (III.2) found that ED's process of ranking unfunded projects reflects the number of federally-connected enrollments and school construction needs at the time the districts applied for assistance. However, GAO noted that project rankings may be outdated and invalid, as ED does not periodically reevaluate these rankings once projects are placed on waiting lists even though most project requests remain unfunded for at least 12 years. Enrollments may decline and construction costs increase while projects wait for funding, but funding remains based only on data provided in the initial application. In addition, many projects were subsequently completed without Federal assistance.

GAO's recommendations and ED's response (III.3) included the following:

- GAO recommended that Congress should amend P.L. 81-815 to require that Section 5 funding be based on average State per pupil construction costs in the year the projects are funded. ED responded that an annual application process would be burdensome on districts that experience little or no changes in membership or facility needs from one year to the next. Instead, ED proposed that a short annual document might be requested of all pending, unfunded construction applicants to allow them to update or confirm the data on anticipated membership and facility needs.

- GAO recommended that school districts should be required to apply annually for school construction assistance so that project requests reflect (1) current enrollments of federally-connected children and school construction needs; and (2) the current estimate of the Federal share of school construction costs. ED responded that basing Section 5 payments on the State average per pupil construction costs in the year a project is funded is unrealistic since the latest information currently available from States is data from the second preceding fiscal year. ED proposed instead that funding should be based on the most recent data available.

- GAO recommended that Congress should authorize ED to distribute available appropriations among a greater number of higher-priority projects by reducing on a pro-rata basis awards to school districts with the greatest school construction needs. ED raised the concern that it would be difficult, if not impossible, for many districts to award construction contracts without having full funding available. ED also noted that Congress would need to amend the statutory priority requirements so partially-funded projects would not fail to qualify for additional assistance based on a new application for the unfunded portion of the project.

III. SOURCES OF INFORMATION

1. Section 2726 of P.L. 99-661 (1987 DoD Military Construction Authorization Act), report submitted to Congress in November 1987.

2. General Accounting Office, Impact Aid: Most School Construction Requests Are Unfunded and Outdated (Washington, DC: U.S. General Printing Office, 1990).

3. Letter from U.S. Secretary of Education Lauro F. Cavazos to Charles A. Bowsher, Comptroller General of the United States, September 7, 1990.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Charles Hansen, (202) 401-3637

Program Studies : Stephanie Stullich, (202) 401-1958

ALLEN J. ELLENDER FELLOWSHIPS
(CFDA No. 84.148)

I. PROGRAM PROFILE

Legislation: Title IV, Part C of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 3081-3112) (expires September 30, 1993).

Purpose: To make a grant to the Close Up Foundation of Washington, D.C., for financial assistance to economically disadvantaged secondary school students and their teachers and economically disadvantaged older Americans and recent immigrants, to increase their understanding of the Federal Government. Special consideration is given to the participation of students with special educational needs, including handicapped students, students from recent immigrant families, ethnic minority students, gifted and talented students, and students of migrant parents.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$500,000	1985	$1,500,000
1975	500,000	1986	1,627,000
1980	1,000,000	1987	1,700,000
1981	1,000,000	1988	2,394,000
1982	960,000	1989	3,458,000
1983	3,000,000 1/	1990	3,703,000
1984	1,500,000	1991	4,101,000

1/ In 1983, Congress appropriated a double amount in order to place the program on a forward-funded basis. The appropriation for FY 1983 provided $1.5 million for the 1982-83 school year and $1.5 million for the 1983-84 school year.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Ellender Fellowships program provides opportunities for students, teachers, older Americans, and recent immigrants to learn about representative government and democracy. Such knowledge is intended to help them become responsible citizens (Goal 3) and to exercise the rights associated with responsible citizenship (Goal 5).

Services

In the 1990-91 school year, the Close Up Foundation awarded fellowships to approximately

2,500 students and 2,800 teachers and administrators to enable them to come to Washington, D.C., for a first-hand look at the operations of the three branches of the U.S. Government. The Close Up Foundation and a number of organizations on aging offered the Fifth Annual National Leadership Issues Forum. The Forum is designed to give participants the opportunity to examine current issues that affect older Americans, work within the political system for an effective advocacy strategy, and develop and take home the skills needed for effective leadership.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

The Department of Education has contracted with Westat Corporation to conduct an evaluation of the effectiveness and efficiency of the Ellender program. Policy issues that will be addressed include program accountability, program targeting, nature of the program, funding and costs, and potential improvement strategies. Evaluation findings will be available in FY 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Carrolyn Andrews, (202) 401-1356

Program Studies : Barbara Coates, (202) 401-1958

INDIAN EDUCATION--FINANCIAL ASSISTANCE TO LOCAL EDUCATION AGENCIES AND INDIAN-CONTROLLED SCHOOLS FOR THE EDUCATION OF INDIAN CHILDREN--SUBPART 1

(CFDA Nos. 84.060 and 84.072)

I. PROGRAM PROFILE

Legislation: Indian Education Act of 1988 (Title V, Part C, Subpart 1 of the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvements Amendments of 1988, P.L. 100-297; 25 U.S.C. 2601-2606) (expires September 30, 1993).

Purpose: Subpart 1 of the Indian Education Act provides formula grant and competitive grant assistance to local education agencies (LEAs) and Indian- controlled schools for programs to address the special educational and culturally related academic needs of Indian children. For purposes of the formula grant program, eligible applicants include LEAs, Bureau of Indian Affairs (BIA) contract schools, and, since FY 1989, schools operated directly by the BIA. Eligible applicants under the competitive grant program include Indian-controlled schools operated by Indian tribes or Indian organizations and are generally located on or near reservations, and LEAs in existence not more than three years.

Grants under this subpart may be used for:

(1) planning and development of programs, including pilot projects designed to test the effectiveness of programs;

(2) establishment and operation of programs, including minor remodeling of space used for such programs and acquisition of necessary equipment; and

(3) training of counselors at eligible schools in counseling techniques relevant to the treatment of alcohol and substance abuse.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$11,500,000	1985	$50,323,000
1975	25,000,000	1986	47,870,000
1980	52,000,000	1987	47,200,000
1981	58,250,000	1988	49,170,000
1982	54,960,000	1989	52,748,000
1983	48,465,000	1990	54,276,000
1984	50,900,000	1991	56,259,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Subpart 1 addresses readiness to learn in school (goal 1), high school graduation (goal 2), and competency in subject matter (goal 3) by supporting projects that focus on the special educational and culturally related academic needs of Indian children.

The Indian Nations At Risk Task Force developed 10 National Goals for American Indian Education, a strategic framework for improving schools, and specific recommendations for various partners whose participation is critical, i.e., parents, school officials, tribes, local governments, State governments, the Federal Government, and colleges and universities. The Task Force recommended that the Indian Education Act of 1972, as amended, provide long-term discretionary funding for model projects and outreach activities for Native parents and students designed to improve schools and academic performance (III.6).

Population Targeting

Fiscal year 1991 formula grants were awarded to 1,163 education entities in 41 States for use in school year 1991-92. These LEAs reported an eligible Indian student enrollment of approximately 368,000. Grant amounts ranged from $1,160 to $1,420,800 (III.1).

New and continuation FY 1991 grants totaling almost $3.0 million were awarded to 16 Indian-controlled schools to support special enrichment projects that supplement already established programs. These projects are expected to serve approximately 4,600 participants in school year 1991-92 (III.1).

Services

According to annual audits conducted by the Office of Indian Education (III.1), the majority of the Subpart 1 Indian projects audited were meeting all or most of the perceived needs for supplementary education-related services for participating students (III.3).

The Department of Education's 1988 national longitudinal study of bilingual programs, which included a component on Native American students, pointed out that a major portion of the instruction for Indian students with limited English proficiency (LEP) was in English language arts--58 percent of the weekly hours received by second graders and 47 percent of the hours received by fourth graders. About 71 percent of the second graders and 43 percent of the fourth graders received special instruction in English. Teachers generally provided the major portion of instruction to the students. However, in some projects, students received most or all of their academic instruction from a classroom aide (III.4).

Program Administration

One shortcoming noted in a 1983 evaluation (III.2) was the failure of LEAs to maintain eligibility information as required to ensure that the Indian Education Act funds are determined only by the number of Indian children who qualify under the Act (III.1). However, LEAs appear to have made substantial improvements since 1983 (III.3).

Outcomes

The Department's national longitudinal study of bilingual programs reported in 1988, that LEP American Indian children scored substantially below national norms. Their performance ranged from the 15th percentile to the 35th percentile on standardized achievement tests. According to the study, LEP Indian students' scores for vocabulary, reading, and math declined sharply, relative to the national norms, from the first to the second grade. However, on a nonverbal aptitude test the Indian students scored at the national norm. These results clearly indicate that academic aptitude does not account for low achievement scores (III.4).

Test scores of schools funded by the Bureau of Indian Affairs show that their students are falling well behind other students nationwide in their ability to demonstrate learning of reading, language, and mathematics (III.5).

III. SOURCES OF INFORMATION

1. Program files.

2. A National Impact Evaluation of the Indian Education Act Part A Program (Arlington, VA: Development Associates, 1983).

3. Annual Audit of Indian Education Act Formula Grant Program-School Year 1987-88 (Washington, DC: Indian Education Program Office, U.S. Department of Education, 1990).

4. Academic Performance of Limited-English-Proficient Indian Elementary Students in Reservation Schools (Arlington, VA: Development Associates, 1988).

5. Report on BIA Education: Excellence in Indian Education Through the Effective Schools Process (Washington, DC: Office of Indian Education Programs, Bureau of Indian Affairs, U.S. Department of the Interior, 1988).

6. Indian Nations At Risk: An Educational Strategy for Action (Washington, DC: U.S. Department of Education, 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : John W. Tippeconnic III, (202) 401-1887

Program Studies : Nancy Loy, (202) 401-1958

SPECIAL PROGRAMS FOR INDIAN STUDENTS--SUBPART 2
(CFDA No. 84.061)

I. PROGRAM PROFILE

Legislation: Indian Education Act of 1988 (Title V, Part C, Subpart 2 of the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297; 25 U.S.C. 2621-2624) (expires September 30, 1993).

Purposes: Subpart 2 of the Act authorizes a variety of programs:

- Planning, Pilot, and Demonstration Projects to design, test, and show the effectiveness of approaches to improve education for Indian students at preschool, elementary, and secondary school levels;
- Educational Services Projects to improve educational opportunities for Indian preschool, elementary, and secondary school students, including enrichment programs and projects designed to reduce the incidence of dropouts among Indian students;
- Educational Personnel Development Projects to train individuals for careers in education, serving Indian students;
- Indian Fellowship Program for Indian students in medicine, psychology, law, education, business administration, engineering, and natural resources;
- Indian Education Technical Assistance Centers to provide training and technical assistance and to disseminate information on program planning, development, management, and evaluation; and
- Indian Gifted and Talented Program for research and development activities related to the education of gifted and talented Indian students.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$5,000,000	1985	$11,760,000
1975	12,000,000	1986	11,301,000
1980	15,600,000	1987	11,568,000
1981	14,500,000	1988	11,707,000
1982	14,880,000	1989	12,307,000
1983	12,600,000	1990	12,055,000
1984	12,000,000	1991	11,992,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Projects funded by this program address all six of the National Goals.

The Indian Nations At Risk Task Force developed 10 National Goals for American Indian education, a strategic framework for improving schools, and specific recommendations for various partners whose participation is critical, i.e., parents, school officials, tribes, local governments, State governments, the Federal Government, and colleges and universities. The Task Force recommended that the Indian Education Act of 1972, as amended, provide long-term discretionary funding for model projects and outreach activities for Native parents and students designed to improve schools and academic performance (III.3).

Services

Subpart 2 grantees received 56 new or continuation awards and served approximately 15,000 participants. Program awards included Planning, Pilot, and Demonstration Projects (17 awards to serve some 9,000 participants); Educational Services Projects (26 awards to serve 5,300 participants); and Educational Personnel Development Projects (13 awards to serve 670 participants). The awards went to Indian tribes, education organizations, colleges, and universities to support a variety of activities, including preschool projects, curriculum development, dropout prevention, media/computer-assisted instruction, and alcohol and drug abuse prevention. Also, 121 new and continuing fellowships were awarded to Indian students to support their undergraduate and graduate education in selected professional fields (III.1).

Outcomes

A 1991 study of the Indian Fellowship Program found that 74 percent of the undergraduates and 80 percent of the graduate students were enrolled in good standing or had completed their programs. In addition, among employed fellowship recipients, about 60 percent were or had been employed within the Indian community (III.2).

III. SOURCES OF INFORMATION

1. Program files.
2. Study of the Indian Fellowship Program (Washington, DC: Pelavin Associates, Inc., 1991).
3. Indian Nations At Risk: An Educational Strategy for Action (Washington, DC: U.S. Department of Education, 1991).

IV. PLANNED STUDIES

During FY 1991, the Department of Education contracted with SRI International to conduct an evaluation of Educational Personnel Development (EPD) Projects in Indian Education. The purpose of the evaluation is to assess the effectiveness of EPD projects to prepare persons for careers in education, especially teaching, that serve American Indian/Alaska Native students." The evaluation will be completed in FY 1993.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : John W. Tippeconnic, III, (202) 401-1887

Program Studies : Nancy Loy, (202) 401-1958

SPECIAL PROGRAMS FOR INDIAN ADULTS--SUBPART 3
(CFDA No. 84.062)

I. PROGRAM PROFILE

Legislation: Indian Education Act of 1988 (Title V, Part C, Subpart 3 of the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100; 25 U.S.C. 2631) (expires September 30, 1993).

Purpose: Subpart 3 of the Indian Education Act provides assistance for projects designed to improve educational opportunities below the college level for Indian adults.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$500,000	1985	$2,940,000
1975	3,000,000	1986	2,797,000
1980	5,830,000	1987	3,000,000
1981	5,430,000	1988	3,000,000
1982	5,213,000	1989	4,000,000
1983	5,531,000	1990	4,078,000
1984	3,000,000	1991	4,226,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports Goal 5 (adult literacy) by funding projects that provide adult basic education and preparation for the high school equivalency examination to Indian adults.

Services

In FY 1991, adult education service projects received 28 awards to serve approximately 6,600 participants. Services offered include consumer education, career counseling, aptitude and vocational testing, and job referral (III.1).

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : John W. Tippeconnic, III, (202) 401-1887

Program Studies : Nancy Loy, (202) 401-1958

DRUG-FREE SCHOOLS AND COMMUNITIES
STATE AND LOCAL PROGRAMS
(CFDA No. 84.186)

I. PROGRAM PROFILE

Legislation: Part B (sections 5121-5127) of the Drug-Free Schools and Communities Act (DFSCA) of 1986, as amended (20 U.S.C. 3191-3197) (expires September 30, 1993).

Purpose: To provide Federal financial assistance to States for school- and community-based programs of drug and alcohol abuse education and prevention.

Funding History

Fiscal Year	Appropriation
1987	$161,046,000
1988	191,480,000
1989	287,730,000
1990	460,554,000 1/
1991	497,702,000

1/ This amount includes $24,688,000 for Emergency Grants. (See Chapter 135).

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This formula grant program is a significant factor in helping schools and communities achieve safe, drug-free schools (Goal 6).

Performance Indicators

Findings from the recently completed implementation study of DFSCA (III.1.) indicate that between 1987 (the first year of the program) and 1989, many States expanded their requirements for local education agency (LEA) prevention programs. Additionally, LEA participation in the initial years of the program was quite high.

- The number of States requiring drug education in all grade levels increased from 21 to 30. Similarly, the number of States requiring integration of drug education in many curricular areas increased from 8 to 17.

- At least 78 percent (11,440) of the Nation's LEAs received DFSCA funds in the 1988-1989 school year. These LEAs enrolled approximately 94 percent of all public school students in grades K-12.

- As would be expected in a new program, evaluation of the DFSCA at the State level primarily focused on program implementation. For example, 23 State education agencies (SEAs) and 19 Governors' programs had collected information to document the types of activities being conducted. While all SEAs and Governors' programs required LEAs to conduct evaluations, as of 1989, only 49 percent of LEAs had completed or were conducting a process evaluation.

Population Targeting

School-age public- and private-school youth (kindergarten through grade 12) are served; children and youth from high-risk environments are a primary focus of programs operated with Governors' funds. According to the implementation study, (III.1.), LEAs were more likely to serve children ages 5 through 9, while Governors' award recipients (GARs) were more likely to provide services to youth ages 10 through 18 and to parents. Of GARs primarily serving high-risk youth, 60 percent or more provided services to children of substance abusers, economically disadvantaged youth, and dropouts or youth who were at risk of dropping out of school.

Services

Nationally, LEAs and GARs funded similar types of services in 1989. These services included student training and instruction, staff training and development, student support services, purchase or development of instructional materials, training for parents and community members, community awareness and coordination, and needs assessment and evaluation. However, LEAs used a larger proportion of funds for instructional materials while GARs used a larger proportion for direct services to youth. This suggests that LEA programs are more likely to provide primary prevention services, while GAR programs are more likely to provide intervention services (e.g., counseling and student support services).

Regardless of differences in types of services provided, LEA and GAR prevention programs shared common program focuses. The most frequently reported program focuses included (1) improving students' knowledge, attitudes, and values about drugs; (2) developing students' decision-making skills and self-confidence; (3) developing students' social and interpersonal skills; (4) enhancing the knowledge, skills, and abilities of staff involved in drug prevention programs; and (5) referring and counseling students with problems.

Program Administration

Each State allocation is divided between the SEA and the Office of the Governor. The SEA must allot most of its funds to local and intermediate education agencies based on enrollment in public and private, nonprofit schools. Ten percent of the States' SEA allocation is set aside for program administration, training, and technical assistance activites. At least 42.5 percent of the Governors' funds must be used for programs designed to meet the needs of high-risk youth.

While at least 78 percent of the Nation's LEAs received DFSCA funds in the 1988-1989 school year, those that did not apply for funding gave the following reasons: (1) they were unaware that DFSCA funds were available; (2) they deemed that their existing alcohol and other drug use prevention programs were sufficient; and (3) the amount of funding available, being proportional to district enrollment, was too small to justify the time and expense of applying.

The size of awards to all GARs in 1989 varied widely, from $2,500 or less to over $100,000. The average grant award for all grants was $18,000. For GARs primarily serving high-risk youth, half of the awards were for $25,000 or less and were funded for less than one year. GAR project staff reported that they often experienced difficulty in hiring staff and in planning and implementing programs because awards were of insufficient size and duration.

State set-aside funds were primarily used for training and technical assistance; administrative functions; needs assessment and evaluation; instructional materials; supplemental grants to LEAs; increasing public awareness; and coordinating community resources. Even though many SEAs used half or more of their set-aside funds for training and technical assistance, they reported that they did not have sufficient capacity to provide all the training and technical assistance services desired by LEAs.

Outcomes

According to the implementation study, 25 States had conducted surveys on youth drug attitudes and use as of school year 1988-1989. States used these data in several ways: to identify program needs, to establish baseline measures on drug use, and to assess program effectiveness. However, the study also found that State and local efforts in needs assessment, monitoring, and evaluation for both the SEA and Governors' programs need to be strengthened. Less than half of the State-level programs had conducted needs assessments, while only 23 SEAs and 19 Governors' programs had begun to conduct process evaluations.

States are required to submit to the Department a biennial report that contains information on the State and local programs conducted with assistance from the DFSCA. Information for the first biennial report was collected as part of the implementation study. Submissions from the States for the second biennial report (covering FYs 1989-1991) were due 1992.

Mangement Improvement Strategies

The program office is currently revising the non-regulatory guidance for Part B programs to clarify requirements pertaining to allowable services and evaluation under the Act.

III. SOURCES OF INFORMATION

1. A Study of the Drug-Free Schools and Communities Act: Report on State and Local Programs (Executive Summary). (Research Triangle Park, NC: Research Triangle Institute, 1991).

2. Legislation and program files.

IV. PLANNED STUDIES

A contract was awarded to Research Triangle Institute in September 1990 to conduct a 60-month study of the relative effectiveness of school-based prevention program strategies. The study has three components: (1) monitoring changes in alcohol and other drug use knowledge, attitudes, and behaviors of a cohort of 5th and 6th graders from school year 1991-1992 through 1994-1995; (2) conducting in-depth case studies of 10 Governors' local prevention projects for high-risk youth in order to identify exemplary practices in community-based prevention programs; and (3) conducting a mail survey to SEAs to determine the extent to which State prevention programs will have changed in response to the 1989 amendments to the Act.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Michelle Padilla, (202) 401-1599
Program Studies	:	Kimmon Richards, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES
REGIONAL CENTERS PROGRAM
(CFDA No. 84.188)

I. PROGRAM PROFILE

Legislation: Part D (Section 5135) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3215) (expires September 30, 1993).

Purpose: To provide training and technical assistance to State education agencies (SEAs), local education agencies (LEAs) and institutions of higher education (IHEs) to develop and strengthen drug and alcohol abuse education and prevention activities in elementary and secondary schools.

Funding History

Fiscal Year	Appropriation
1987	$8,752,000
1988	10,019,302
1989	15,637,500
1990	15,959,000
1991	15,916,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports safe, drug-free schools (Goal 6) by providing training and technical assistance on needs assessment, program implementation and evaluation to schools and communities.

Population Targeting

The five regional centers provide training and technical assistance to administrators, teachers, and counselors in schools and institutions of higher education, as well as parents, community leaders, and SEA and other State-level personnel.

Services

The regional centers train school teams to assess alcohol- and drug-related problems confronting schools and communities and develop appropriate strategies to resolve these problems; help SEAs coordinate and strengthen prevention programs; and help LEAs and IHEs develop preservice and inservice training programs. The centers also disseminate information about promising programs.

Program Administration

The five centers are operated under cooperative agreements by the following grantees: Midwest--North Central Regional Educational Laboratory; Southeast--University of Louisville; Northeast--Super Teams, Ltd.; Southwest--University of Oklahoma; and West--Northwest Regional Educational Laboratory.

Management Improvement Strategies

Two management improvement strategies were initiated in FY 1991 by the program office in order to assess the effectiveness of the centers' training and technical-assistance services. These strategies are strengthening monitoring procedures to be used during site visits to the centers and upgrading the management information system on the activities of the regional centers.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

A contract for a study of training and technical assistance services provided by the regional centers was to be awarded in FY 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Kimberly C. Light, (202) 401-1599

Program Studies : Kimmon Richards, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES PROGRAMS FOR HAWAIIAN NATIVES
(CFDA No. 84.199)

I. PROGRAM PROFILE

Legislation: Part D (Section 5134) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3214) (expires September 30, 1993).

Purpose: To fund drug and alcohol abuse prevention and education activities to organizations that primarily serve and represent Hawaiian Natives.

Funding History

Fiscal Year	Appropriation
1987	$389,000
1988	445,302
1989	695,000
1990	1,067,000
1991	1,133,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports safe, drug-free schools (Goal 6) by providing culturally appropriate prevention services to the target population.

Population Targeting

Hawaiian Natives are the target group for services. The grant recipient, Kamehameha Schools in Honolulu, is working with a community of over 20,000, including 4,500 students served by two school complexes.

Services

Grantee activities have expanded to a Statewide focus for year five of the program, including such activities as development and dissemination of education materials, resource and referral services, services to out-of-school youth and families, parent and teacher training programs, community-based prevention activities, and technical assistance.

Program Administration

The designee of the Governor of the State of Hawaii administers the program.

Mangement Improvement Strategies

Program staff plan to conduct an on-site program review in FY 1992.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Kimberly C. Light, (202) 401-1599
Program Studies	:	Kimmon Richards, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES INDIAN YOUTH PROGRAM
(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Part D (Section 5133) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3213) (expires September 30, 1993).

Purpose: To fund drug and alcohol abuse education and prevention programs for Indian children who attend schools operated or funded by the Bureau of Indian Affairs (BIA).

Funding History

Fiscal Year	Appropriation
1987	$1,945,000
1988	2,226,512
1989	3,475,000
1990	5,332,000
1991	5,665,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports safe, drug-free schools (Goal 6) by providing prevention services to a high-risk population.

Population Targeting

Indian children attend 180 schools operated or funded by the Bureau of Indian Affairs. These schools served approximately 40,000 students in 21 States in academic year 1990-1991.

Services

Alcohol and drug abuse education and prevention programs include activities such as assistance in implementing curricula, inservice workshops, and special training for students in pursuing drug- and alcohol-free lives.

Program Administration

The program is administered by BIA in accordance with a Memorandum of Agreement between the Secretary of Education and the Secretary of the Interior. Allocation of funds is made through BIA's Office of Indian Education Programs (OIEP) to 31 BIA area and agency offices according to a formula designed for disbursing funds for BIA academic programs. Schools submit applications to their area/agency offices; these offices are responsible for reviewing and approving the applications, allocating the funds, and receiving annual reports on activities and expenditures. Approximately one percent of the DFSCA appropriation is set aside for this program.

A study of this program conducted for the Department of Education revealed that the amount awarded to an individual school varied widely (III.1). In FY 1990, the school allocations ranged from $7,300 to $102,200. (All schools received a base allocation of $5,000). However, because of weighting factors in the allocation formula (e.g., grade levels served, day or residential school status), schools with very low enrollment may receive very high per-child allotments but very low total grant awards. An issue for further study is assessing the extent to which small schools receive adequate funds to provide comprehensive prevention services.

Other problems identified in the study were weaknesses in procedures for processing applications, ensuring timely notification to schools of their funding levels, monitoring programs at the national and regional levels, failure to enforce reporting requirements on school prevention efforts, and weaknesses in training and technical assistance efforts for staff in the area/agency offices as well as school program personnel.

Mangement Improvement Strategies

In order to improve program monitoring, Department and BIA staff coordinated monitoring efforts and conducted site visits to schools and area/agency offices beginning in FY 1991. OIEP also circulated a directive to all schools in FY 1991 to clarify annual reporting requirements.

III. SOURCES OF INFORMATION

1. Study of Programs to Prevent Alcohol and Drug Use Among American Indian Youth: Report on BIA Program Administration. (Draft Report) (Washington, DC: Pelavin Associates, Inc.).

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Kimberly C. Light, (202) 401-1599

Program Studies : Kimmon Richards, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES SCHOOL PERSONNEL TRAINING GRANTS PROGRAM
(CFDA No. 84.207)

I. PROGRAM PROFILE

Legislation: Part C (Section 5128 and 5130) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3201, 3203) (expires September 30, 1993).

Purpose: To provide assistance to State education agencies (SEAs), local education agencies (LEAs), and institutions of higher education (IHEs) to support training programs for elementary and secondary teachers, administrators, and other school personnel in drug and alcohol abuse education and prevention.

Funding History

Fiscal Year	Appropriation
1987	$7,780,000
1988	8,169,000
1989	20,900,000
1990	16,739,000 1/
1991	20,000,000

1/ The competition in Fiscal Year 1990 included an invitational priority for projects to train counselors, social workers, psychologists, or nurses.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports safe, drug-free schools (Goal 6) by providing school staff with knowledge of the effects of alcohol and other drug use on student learning and by helping teachers and other school personnel to be responsive to students who are at risk for alcohol and other drug use.

Population Targeting

Teachers, administrators, and other school personnel are the intended recipients of training.

Services

Services include preservice and inservice teacher training. In FY 1991, the Department of Education funded 141 grants at an average cost of $142,000.

Program Administration

The projects for school personnel are administered by SEAs, LEAs, and IHEs, and are funded for up to 24 months. Awards were made to 33 States, the District of Columbia, Palau, and Puerto Rico.

III. SOURCES OF INFORMATION

1. Project files.

IV. PLANNED STUDIES

The Department of Education is currently conducting a study of the School Personnel Training Grants program. The study is scheduled to be completed in September 1992. The purpose of the study is to provide an evaluation of the grants funded under this program. The study will provide descriptive information of the types of projects funded, describe how the training was put to use, and profile nine promising training projects.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	John Mathews, (202) 401-1599
Program Studies	:	Kimmon Richards, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES DEMONSTRATION GRANTS PROGRAM
(CFDA No. 84.184A)

I. PROGRAM PROFILE

Legislation: Part D (Section 5131) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3211) (expires September 30, 1993).

Purpose: To provide assistance to institutions of higher education for model demonstration programs coordinated with local elementary and secondary schools for the development and implementation of quality drug and alcohol abuse education and prevention programs.

Funding History

Fiscal Year	Appropriation 1/
1987	$ 0
1988	0
1989	0
1990	5,000,000
1991	4,986,000

1/ Appropriations in FY 1987, FY 1988, and FY 1989 for this program, formerly a component of the Training and Demonstration Grants program, are included in the amounts shown for these years under CFDA No. 84.207, School Personnel Training Grants program (Chapter 119).

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports safe, drug-free schools (Goal 6) through development of model prevention programs for students in pre- K through grade 12.

Population Targeting

Demonstration programs are designed to serve elementary and secondary school students.

Services

The primary focus of this program is the development of research-based alcohol and other drug education and prevention programs for grades pre- K through 12. In FY 1991, the Department of Education funded six new grants at an average of $250,000. Twenty continuation grants were also awarded at an average of $165,000.

The funded projects include:

- A demonstration of a model to infuse prevention activities in a district-wide special education program for youth with emotional disabilities (California);
- A demonstration of a comprehensive approach to alcohol and other drug use prevention for high-risk youth in conjunction with other services to strengthen social and academic skills as well as family relationships (Florida); and
- A demonstration of two parent-training programs designed to reduce risk factors associated with alcohol and other drug use (State of Washington).

Program Administration

The program is operated as a grant competition. Projects are administered by institutions of higher education and are funded for up to three years. Awards were made to 12 States and the District of Columbia.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Seledia Shephard, (202) 401-1258

Program Studies : Kimmon Richards, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES FEDERAL ACTIVITIES GRANTS PROGRAM

(CFDA No. 84.184B)

I. PROGRAM PROFILE

Legislation: Part D (Section 5132) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3212) (expires September 30, 1993).

Purpose: To provide assistance to State education agencies, local education agencies, institutions of higher education, and nonprofit organizations to support drug and alcohol abuse education and prevention activities.

Funding History

Fiscal Year	Appropriation 1/
1987	$4,993,000
1988	4,855,000
1989	6,072,000
1990	3,829,000
1991	6,159,000

1/ These amounts include only the funds the Department used for Federal Activities Discretionary Grants programs. Additional funds were appropriated under Drug-Free Schools National Programs for other Federal activities such as the Drug-Free School Recognition program and the development and dissemination of publications on prevention for parents, schools, and communities.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports safe, drug-free schools (Goal 6) by helping schools and communities establish community-wide comprehensive prevention programs.

Population Targeting

Grants support projects that serve students through school-based programs and through community-wide efforts.

Services

Services include the development and implementation of comprehensive drug and alcohol abuse education and prevention programs. Activities feature model development, dissemination, technical assistance, and curriculum development. In FY 1991, the Department funded 31 grants at an average cost of about $200,000.

The funded projects included:

- A project to implement a comprehensive prevention program for school-aged children in high poverty communities in New York;

- A project to provide Statewide training for elementary and middle school personnel to assist children of alcoholics in Virginia; and

- A project in Minnesota to provide prevention services for re-entering dropouts and alternative school students at the junior and senior high-school levels.

Program Administration

The program is operated as a grant competition. Projects are administered by State education agencies, local education agencies, institutions of higher education, and nonprofit organizations. Awards were made to projects in 18 States and the District of Columbia.

Preliminary findings from the study of the Federal Activities Grants program (III.1) indicate that grantees often experienced difficulty in hiring staff and in planning and implementing programs because awards were of insufficient size and duration. In response to these issues, the program office increased the average award from $160,000 to $200,000 and the funding period from 18 months to 24 months in FY 1991.

Outcomes

Preliminary findings from the study of the Federal Activities Grants program indicate that very few projects had conducted process or outcomes evaluations. Obstacles to conducting evaluations included lack of resources, lack of personnel with expertise in evaluation, and the failure to plan for evaluation during project development. As part of recent changes in the regulations for this program (published in 1990), increased emphasis has been placed on evaluation in the selection criteria as part of the application review process.

Management Improvement Strategies

The program staff are currently involved in a project to develop a conceptual framework for a management information system on Federal Activities and other discretionary grantees. The system will be designed to capture basic descriptive information from applications and progress reports on types of grantees, services provided, populations targeted, and evaluation activities.

III. SOURCES OF INFORMATION

1. Technical Report: Retrospective Study of Exemplary Federal Activities Grants and Drug-Free School Recognition Programs. (Draft Report) (San Mateo, CA: Aguirre International, July 1991).

2. Program files.

IV. PLANNED STUDIES

A handbook on implementing comprehensive alcohol, tobacco, and other drug prevention programs in schools and communities is expected to be released in early 1993.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Gail Beaumont, (202) 401-1258

Program Studies : Kimmon Richards, (202) 401-3630

CHRISTA McAULIFFE FELLOWSHIP PROGRAM
(CFDA No. 84.190)

I. PROGRAM PROFILE

Legislation: The Higher Education Act of 1965, as amended, Title V, Part D, Subpart 2 (20 U.S.C. 1113-1113e) (expires September 30, 1992).

Purpose: In 1987, the previously unfunded National Talented Teacher Fellowship program was renamed in honor of Christa McAuliffe, the teacher killed in the explosion of the space shuttle Challenger. This program provides annual fellowships to outstanding public and private elementary and secondary school teachers. The fellowships are to be provided in every Congressional district in each of the 50 States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, American Samoa, the Northern Mariana Islands, and the Trust Territory of the Pacific Islands. However, if the appropriation is insufficient to provide that number of fellowships, the Secretary of Education is authorized to determine an alternative distribution that is geographically equitable. Since its inception in 1987, the program has not been fully funded and the Secretary's alternative distribution has been based on relative numbers of public school teachers. Awards do not exceed the national average public school teacher salary in the most recent year for which satisfactory data are available. A seven-member panel in each State selects fellowship recipients and makes recommendations to the Department of Education for fellowship awards.

Christa McAuliffe Fellows may use awards for projects to improve their knowledge or skills and the education of their students through (1) sabbaticals for study or research, (2) consultation and assistance to other school systems, (3) development of special innovative programs, or (4) model teacher programs and staff development.

Recipients are required to return to a teaching position in their current school system for at least two years following the completion of their fellowships.

Funding History

Fiscal Year	Appropriation
1987	$2,000,000
1988	1,915,000
1989	1,892,000
1990	1,932,000
1991	1,954,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program addresses all six of the National Goals through the award of fellowships to school teachers for projects to improve their knowledge, and skills and the education of their students. To date, fellowships have supported projects in many disciplines and subject areas, including math and science, civics, language, curriculum development, special education, arts and recreation, and acquisition of computer equipment.

Population Targeting

Public and private elementary and secondary school teachers.

Services

In FY 1992, 66 fellowships were awarded to teachers for a total of 523 awards since 1987. Because applications are developed and selected at the State level, the total number of applicants is unknown.

Fellowships have been awarded for projects in many disciplines. About one-half of all fellowships have been awarded for projects in math and science that include hands-on activities and staff development. About 20 percent of the awards have been made for research sabbaticals, program development, and teacher training. The remaining fellowships focus on language arts and other educational projects. A sample of these projects include:

- o establishing a science resource library;
- o providing staff development training using the AIMS (Activities that Integrate Math and Science) program;
- o developing outdoor or mobile classrooms;

- developing curricula (many awards are used for this purpose); and
- equipment purchases for computer labs.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Janice Williams-Madison, (202) 401-1059

Program Studies : Joanne Bogart, (202) 401-1958

WOMEN'S EDUCATIONAL EQUITY
(CFDA No. 84.083)

I. PROGRAM PROFILE

Legislation: The Women's Educational Equity Act (WEEA) (Title IV-A of the Elementary and Secondary Education Act, as amended) (20 U.S.C. 3041-3047) (expires September 30, 1993).

Purpose: To (1) promote educational equity for women and girls at all levels of education, including those who suffer multiple discrimination, bias, or stereotyping based on sex, race, ethnic origin, disability, or age and (2) provide financial assistance to education agencies and institutions in meeting all requirements of Title IX of the Education Amendments of 1972 (relating to nondiscrimination on the basis of sex in federally assisted educational programs).

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1976	$6,270,000	1986	$5,740,000
1980	10,000,000	1987	3,500,000
1981	8,125,000	1988	3,351,000
1982	5,760,000	1989	2,949,000
1983	5,760,000	1990	2,098,000
1984	5,760,000	1991	1,995,000
1985	6,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Several WEEA-funded projects are designed to increase the interest and participation of women in instructional courses in math, science, and computer science. These projects support National Goal 4, which aims to make U.S. students first in math and science achievement by the year 2000.

Population Targeting

The program awards grants and contracts to public agencies and nonprofit private agencies, institutions, individuals, and organizations--including student and community groups--to operate programs that promote educational equity for women and girls.

Services

WEEA funds support a wide variety of demonstration, developmental, and dissemination projects, including the development and evaluation of educational materials, training programs, and guidance and counseling activities. WEEA projects must have national, Statewide, or general significance and may address all levels of education. WEEA grantees may provide direct services to a target group or may develop educational materials that are distributed upon request through the WEEA Publishing Center.

In FY 1991, 14 grants were awarded. Of these grants, five general grants and five challenge grants (grants for small, innovative projects costing $40,000 or less) were awarded under the priority for projects to increase the interest and participation of women in instructional courses in mathematics, science, and computer science. The remaining four grants were awarded under the category for other authorized activities.

Many of the projects funded during the past program year focus on activities related to math and science. One of the projects in this area is the "Collegiate Science and Technology Entry Program" administered by Onondaga Community College in Syracuse, New York. This project provides comprehensive support for economically disadvantaged, ethnic minority students who are pursuing careers in the scientific, technical, or health fields.

The "Keepers of the Earth Science Project" administered by Northeastern State University in Tahlequah, Oklahoma, is implementing an innovative environmental science curriculum program to increase the participation of eighth- and ninth-grade Cherokee girls in science instruction courses to prepare and encourage them to consider science-related careers.

The WEEA project of the University of West Florida is a summer program that places 50 minority female seventh-graders in an intensive five-week program which emphasizes integrated math and science computer activities.

Program Administration

The WEEA regulations have been amended to implement changes made by the Hawkins-Stafford Amendments, to include new regulations for projects of local significance, and to effect other revisions based on policy changes and a thorough review of regulations. The changes to the regulations include new priorities to highlight some areas of growing concern to women and girls: participating in mathematics, science, and computer science courses and in careers in which they are underrepresented; expanding opportunities for economically disadvantaged women; and ensuring that women remain in school or, if they drop out, resume their education.

Outcomes

The math, science, and computer science priority is new this year, and it is too early to measure outcomes. Students involved in the University of West Florida in antecedent project will be tracked through their high school career and possibly through college. It is hoped that the project's impact on students' participation in math and science can thus be followed.

In FY 1991, the majority of sales from the WEEA Publishing Center were to teachers and faculty of community and junior colleges, four-year colleges and universities, local education agencies, intermediate agencies including learning centers, and area education agencies. Requests for assistance were responded to from individuals and organizations nationwide representing adult programs, employment centers, girls clubs, career centers, child-care networks, guidance counselors, and K-12 teachers. In addition, there has been increased interest in mentoring and materials in the area of math and science.

III. SOURCES OF INFORMATION

1. Program Files.

2. WEEA Publishing Center: Current Sales Activity (1991), User Surveys.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Frank B. Robinson, Jr., (202) 401-1342

Program Studies : Lenore Garcia, (202) 401-3630

MIGRANT EDUCATION--HIGH SCHOOL EQUIVALENCY PROGRAM (HEP) AND COLLEGE ASSISTANCE MIGRANT PROGRAM (CAMP)

(CFDA Nos. 84.141 and 84.149)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Section 418A, P.L. 89-329, as amended by P.L. 99-498 (20 U.S.C. 1070d-2) (expires September 30, 1992).

Purpose: The High School Equivalency program (HEP) and the College Assistance Migrant program (CAMP) help students who are engaged, or whose families are engaged, in migratory or seasonal farm work. Grants for both HEP and CAMP are made to institutions of higher education (IHEs) or to other nonprofit private agencies that cooperate with such institutions.

Funding History: 1/

Fiscal Year	Appropriation		Fiscal Year	Appropriation	
	HEP	CAMP		HEP	CAMP
1975	$5,396,665 2/		1986	6,029,000	$1,148,000
1980	6,160,000	$1,173,000	1987	6,300,000	1,200,000
1981	6,095,000	1,208,000	1988	7,276,000	1,340,000
1982	5,851,200	1,160,000	1989	7,410,000	1,482,000
1983	6,300,000	1,200,000	1990	7,858,000	1,720,000
1984	6,300,000	1,950,000 3/	1991	7,807,000	1,952,000
1985	6,300,000	1,200,000			

1/ The Department of Labor began funding HEP and CAMP in 1967, but funding information before 1975 is not available.

2/ This figure represents total funding for both HEP and CAMP in FY 1975.

3/ Includes a $750,000 supplemental appropriation for CAMP.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

HEP helps persons 17 years of age or older who are not currently enrolled in school to obtain the equivalent of a secondary school diploma and subsequently to gain employment or to begin postsecondary education or training (Goals 2 and 3). CAMP assists students enrolled in the first undergraduate year at an institution of higher education to complete their program of study for that year (Goal 5).

Performance Indicators

- o 85 percent of students enrolled in HEP between 1980 and 1984 passed the GED. Approximately 81 percent of all HEP participants passed the high school equivalency tests while enrolled in HEP, and the remainder did so at a later time.

- o 70 percent of HEP participants completed the GED during the 1986-87 school year.

- o 92 percent of all CAMP students surveyed completed the first year of college, compared with 77 percent of the freshman class nationally. Fifteen percent of CAMP students between 1980 and 1984 completed a four-year degree program, and 13 percent completed a two-year degree program.

- o 81 percent of CAMP participants in 1986-87 completed their first year of college.

- o Upon completing the HEP program, 29 percent of the 1986-87 participants were enrolled in a postsecondary institution and 18 percent were employed in nonmigratory work.

Population Targeting

According to a longitudinal evaluation of the programs completed in 1985, the two programs have, over the last 20 years, served approximately 45,000 students out of an estimated 1.4 million persons whose migratory employment patterns make it difficult for them to complete high school and college educational objectives. Eighty-three percent of HEP students and 93 percent of CAMP students were Hispanics between the ages of 17 and 20 (III.1).

The HEP program will serve an estimated 3,099 persons, and the CAMP program an estimated 398 persons in school year 1991-92 (III.2).

Services

HEP participants receive developmental instruction and counseling services intended to prepare them (1) to complete the requirements for high school graduation or the general education development (GED) certificate; (2) to pass a standardized test of high school equivalency; and (3) to participate in subsequent postsecondary educational or career activities (III.1).

CAMP programs provide academic and counseling support services, diagnostic and advising services, and financial assistance to first-year college students (III.1).

According to a descriptive review of HEP and CAMP completed in 1989, academic instruction accounted for 57 percent of the average service hours at 12 HEP sites providing services in 1986-87. Instructional support services such as tutoring accounted for 17 percent of the total services provided by HEP projects, job training accounted for 14 percent, counseling services for 7 percent, and cultural or social activities accounted for 5 percent. CAMP projects, on the other hand, emphasize such support services as tutoring and academic and personal counseling rather than direct academic instruction (III.3).

Program Administration

In FY 1991, 23 HEP programs were funded in 17 States, with grants ranging from $170,919 to $452,107. Seven CAMP programs were funded in five States, with grants ranging from $212,768 to $354,504 (III.2).

The average cost of supporting one HEP participant for the 1990-91 school year was $2,875; the average cost for one CAMP participant was $5,123 (III.2).

According to the 1989 descriptive review of 16 HEP projects, there were differences in expenditures per participant at commuter, residential, and mixed residential/commuter projects. Commuter HEP projects spent, on the average, $2,160 per participant in 1986-87; residential projects spent $2,287 per participant; and mixed residential/ commuter projects spent $2,797 per participant. The cost per participant was $2,340 at IHE-operated projects and $2,308 at HEP projects operated by private, nonprofit agencies (III.3).

Outcomes

According to the longitudinal study of the programs completed in 1985, 85 percent of the students enrolled in HEP programs between 1980 and 1984 have passed the GED. Approximately 81 percent of all HEP participants passed the high school equivalency test while they were enrolled in the program, and the remainder did so at a later time (III.1).

Ninety-two percent of all CAMP students surveyed completed the first year of college, compared with 77 percent of the freshman class nationally. Fifteen percent of CAMP students from 1980 through 1984 completed a four-year degree program, and 13 percent completed a two-year degree program. About 1 percent of HEP students completed a four-year degree program and 5 percent completed a two-year degree program (III.1).

HEP programs that were directly affiliated with colleges and universities had GED completion rates of 85 percent while programs lacking a direct university affiliation had GED completion rates of 71 percent. Thirteen percent of the participants in college-based programs earned associate or baccalaureate degrees as compared to 5 percent of the participants in programs without a university affiliation. Programs that specified anticipated outcomes in observable and measurable terms had a success rate 20 to 30 percent higher than those that did not (III.1).

According to the descriptive review of HEP and CAMP completed in 1989, 70 percent of HEP participants completed the GED during the 1986-87 school year. Seventy-three percent of participants at IHE-operated projects completed the GED, as compared with 53 percent of participants at private, nonprofit projects. At residential HEP projects, 83 percent of participants received the GED; at commuter HEP projects, 68 percent of participants received the GED; and at mixed residential/commuter HEP projects, 67 percent of participants received the GED (III.3).

Twenty percent of students admitted into a HEP or CAMP program between 1980 and 1984 could not reach stated program objectives because their skill deficiencies were too great for remediation by the programs (III.1).

Upon completing the HEP program, 29 percent of the 1986-87 participants were enrolled at a postsecondary institution and 18 percent were employed in nonmigratory work. Eighty-one percent of CAMP participants in 1986-87 completed their first year of college (III.3).

III. SOURCES OF INFORMATION

1. HEP/CAMP National Evaluation Project, Research Report No. 3: A Comprehensive Analysis of HEP/CAMP Program Participation (Fresno, CA: California State University, October 1985).

2. Program files.

3. Descriptive Review of Data on the High School Equivalency Program (HEP) and College Assistance Migrant Program (CAMP) (Washington, DC: Pelavin Associates, April 1989).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Francis V. Corrigan, (202) 401-0740

Program Studies : Elizabeth Farquhar, (202) 401-1958

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
ARTS IN EDUCATION
(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Section 1564 of the Elementary and Secondary Education Act (ESEA) of 1965, (20 U.S.C. 2964 (1988)) (expires September 30, 1993).

Purpose: To establish and conduct programs in which the arts are an integral part of elementary and secondary school curricula.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1976	$750,000	1986	$3,157,000
1980	3,500,000	1987	3,337,000
1981	2,025,000	1988	3,315,000
1982	2,025,000	1989	3,458,000
1983	2,025,000	1990	3,851,000
1984	2,125,000	1991	4,392,000
1985	3,157,000		

1/ This program is one of several activities authorized by ESEA, Title I, Chapter 2, Part B, Section 1561. The maximum amount authorized for Part B is 6 percent of the amount appropriated for Chapter 2. Section 1561 also establishes a minimum level of $3,500,000 for the Arts in Education program.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program provides access to the arts in support of Goal 3, improving students' academic competency.

Population Targeting

Disabled and nondisabled children and youth, parents, teachers, and school administrators interested in the arts.

Services

The Arts in Education program provides funding to the Very Special Arts (VSA) program (formerly the National Committee on Arts for the Handicapped (NCAH)) to encourage and support quality programs integrating the arts into general education for disabled youth and adults. The program also provides funds to the John F. Kennedy Center for the Performing Arts, which support a variety of activities including: the Alliance for Arts Education, a network of State arts education committees that focus on making the arts an integral part of basic education; the American College Theater Festival; Performances for Young People internship programs; the Arts Centers and Schools program; and other educational services.

For FY 1991, VSA was awarded $3,294,000 to conduct training and technical assistance related to organizational and public/private partnership development, program development and expansion, training, and information services and public awareness in all 50 States, the District of Columbia, and Puerto Rico. The program is designed to help build a cohesive national network, public and private partnerships, and ongoing arts education programs for persons with disabilities. At the center of the VSA program is the VSA Festival which is intended to enable individuals of all ages to celebrate their artistic accomplishments. In FY 1991, more than 560 such local festivals were held around the country.

For FY 1991, the Kennedy Center received $1,098,000 to help carry out its educational activities for the year. These funds were primarily used to support the Alliance for Arts Education, the "Imagination Celebration" and the American College Theater Festival.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Carrolyn Andrews, (202) 401-1342

Program Studies : Daphne Hardcastle, (202) 401-1958

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
INEXPENSIVE BOOK DISTRIBUTION
(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Section 1563 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended (20 U.S.C. 2963) (expires September 30, 1993).

Purpose: To support and promote the establishment of reading motivation programs, including the distribution of inexpensive books to students in order to encourage students to learn to read.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	$5,850,000	1987	$7,800,000
1983	5,850,000	1988	7,659,000
1984	6,500,000	1989	8,398,000
1985	7,000,000	1990	8,576,000
1986	6,698,000	1991	9,271,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Inexpensive Book Distribution program promotes literacy. Serving children from ages 3-18, the program is designed to support young children's readiness to learn in school (Goal 1), contributing to students' competency (Goal 3) and ultimately encouraging adult literacy (Goal 5).

Population Targeting

The program is directed at preschool, elementary, and secondary students. In the National Literacy Act Amendment of 1991, Congress required that selection priority for additional local projects be given to those which serve children with special needs, such as low-income children, children at risk for school failure, children with disabilities, emotionally disturbed children, foster children, homeless children, migrant children, children without access to libraries, institutionalized children, incarcerated children, and children whose parents are institutionalized or incarcerated. Previously, legislation had not required targeting any particular population. The Department is currently considering how to implement this new requirement.

The following table provides the percentages of students served during 1990-91, by age and racial/ethnic categories (III.2).

Distribution of Recipients by Ethnicity and Age

Race/Ethnicity	
White	56%
Black	22%
Hispanic	16%
Asian	3%
American Indian	2%
Other	<1%

Age	
3-5 year olds	12%
6-11 year olds	72%
12-14 year olds	12%
15-high school	4%

Services

The program, administered through a contract between the U.S. Department of Education and Reading Is Fundamental, Inc. (RIF), provides inexpensive books to students in conjunction with motivational activities to encourage reading, such as a recognition program for student readers. RIF also arranges discounts for distributors to enable nonprofit organizations such as schools and community organizations to purchase books at reduced rates for their local projects.

With FY 1991 funds, 2,939 federally funded local projects are distributing 7.6 million books to 2.4 million children in 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, and Guam. Since 1976, RIF has distributed over 100 million books to local groups through its subcontractor book companies (III.2). (This figure includes books donated to the program, as well as those purchased with program funds.)

Federally funded RIF projects serve 5 percent of the U.S. school-age population. The highest proportions of school-age children served, 68 percent, are in the District of Columbia, where the program originated, followed by Vermont (16 percent), Rhode Island (15 percent), Alaska (13 percent), and New Mexico (10 percent). The lowest proportions (1 percent) of school-age children are served by federally funded projects in Georgia, Nebraska, and Nevada (III.2).

In a 1980 study of 38 local projects out of a total of 1,842, conducted for the Department, nearly 50 percent of the parents of children served reported that their child owned more than 25 books (cited in III.2).

Program Administration

This program is carried out by Reading Is Fundamental, Inc., a non-profit organization, through a contract with the U.S. Department of Education. According to an evaluation begun in fall 1991 for the Department, 57 percent of the federally funded local projects are operated by schools and districts, 23 percent by PTAs and PTOs, and the remainder by service groups (11 percent), library associations (3 percent), and other organizations. The substantial proportion of projects operated by PTAs and PTOs suggests that access may depend on active parental involvement (III.2).

Federal funds pay for 75 percent of the book costs for all federally funded projects, except those serving children of migrant farmworkers, which receive 100 percent Federal funding. With this exception, federally funded projects must raise funds to cover the remaining 25 percent of book cost and 100 percent of any other costs. The other 1,052 local projects are supported entirely by funds from private contributions and local fundraising efforts. Ninety-nine percent of staff operating federally funded projects are unpaid volunteers, which keeps operational costs low (III.2).

Management Improvement Strategies

The evaluation begun in fall 1991 recommends increased emphasis on local projects' developing financial independent from Federal funds, to making funding available for additional projects serving low-income children, at-risk children, and others with special needs, as specified in the Literacy Act Amendment of 1991. This would require additional technical assistance to local projects, additional data collection and analysis, and the establishment of a national system to review and select local projects. The evaluation recommends that the implications of these changes for staffing and computer needs be examined (III.2).

Outcomes

Isolated studies of a limited number of projects have found increases in the amount of time the children served spent reading, the number of books they bought or owned, their positive attitudes toward reading, and the likelihood that they discussed books with other students (cited in III.2). However, comparable national data do not exist. RIF does not currently collect quantitative outcome data but does provide anecdotal testimonials concerning project results.

III. SOURCES OF INFORMATION

1. Funding history from program files.

2. Evaluation of the Inexpensive Book Distribution Program (Washington, DC: Office of Policy and Planning, U.S. Department of Education, expected publication date: 1992).

IV. PLANNED STUDIES

In fall 1991, the U.S. Department of Education began an evaluation of the program to be published in 1992. The purpose of the evaluation is to: (1) evaluate the success of the program and identify factors contributing to that success; (2) assess the adequacy of reporting and monitoring mechanisms for accountability; and (3) recommend strategies for any needed improvements.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Carrolyn N. Andrews, (202) 401-1356

Program Studies : Nancy Loy, (202) 401-1958

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
LAW-RELATED EDUCATION
(CFDA No. 84.123)

I. PROGRAM PROFILE

Legislation: Section 1565 of the Elementary and Secondary Education Act of 1965, as amended by the Hawkins-Stafford Elementary and Secondary School Improvement Amendments of 1988 (20 U.S.C. 2965) (expires September 30, 1993).

Purpose: To enable children, youth, and adults to become more informed citizens by providing them with knowledge and skills pertaining to the law, the legal process, the legal system, and the fundamental principles and values on which these are based.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$1,000,000	1986	$1,914,000
1981	1,000,000	1987	3,000,000
1982	960,000	1988	3,830,000
1983	1,000,000	1989	3,952,000
1984	1,000,000	1990	4,938,000
1985	2,000,000	1991	5,855,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Law-Related Education Program is directly designed to help prepare students for responsible citizenship (Goal 3) through challenging courses that stimulate the ability to reason, solve problems, and apply knowledge. Many projects promote personal responsibility and involve students in community service. In addition, law-related education builds students' commitment to rules and laws, thus promoting a safe, disciplined, and drug-free school environment (Goal 6).

Population Targeting

Local, State, and national projects predominantly serve students in public and private schools from kindergarten through grade 12.

Services

Law-related education covers a wide range of subjects such as the Bill of Rights and other areas of constitutional law; the role and limits of law in a democratic society; the Federal, State, and local lawmaking process; the role of law in avoiding and resolving conflicts; the administration of the criminal, civil, and juvenile justice systems; and issues of authority, freedom, enforcement, and punishment.

During the 1991-92 school year, priority was given to projects that addressed the role of moral and ethical choices in making and following the law. Projects were also sought to help the public better understand the functions of the different jurisdictions of local, State, and Federal courts. Forty-two law-related education projects were funded in 22 states and the District of Columbia. The FY 1991 grants ranged in size from about $30,800 to $484,583 and were made to State and local education agencies, and public and nonprofit organizations. Four projects were nationwide, while 22 were local, and 16 statewide in scope.

Programs aim to reach a variety of audiences. One project, for example, trains assistant principals in major school districts in the curriculum and methods of the "Law in a Free Society: Justice" Program. Another project will train 30 elementary teachers in the principles of authority, justice, responsibility, and privacy. Yet another project is aimed at deaf adults who can serve as liaisons to the deaf community and as advocates for members of their own community who enter the legal system.

Outcomes

The most recent research study on the impact of law-related education was completed in 1984.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Janice Williams-Madison, (202) 401-1059

Program Studies : Elizabeth Farquhar, (202) 401-1958

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
BLUE RIBBON SCHOOLS

(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Title I, Chapter 2, Part B, Section 1566 of the Elementary and Secondary Education Act (ESEA) of 1965, as amended by the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297, (20 U.S.C. 2966) (expires September 30, 1993).

Purpose: To recognize elementary and secondary schools which have established standards of excellence and which have demonstrated high quality.

Funding History 1/

Fiscal Year	Appropriation
1989	$889,000
1990	494,000
1991	885,000

1. This program is one of several activities authorized by ESEA, Title I, Chapter 2, Part B. The maximum amount authorized for Part B is 6 percent of the amount appropriated for Chapter 2. Section 1566 establishes a maximum level of $1,500,000 for the Blue Ribbon Schools program.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The selection of Blue Ribbon Schools provides recognition at the Federal level for local school efforts in developing high quality programs with high standards of excellence. Highlighting these outstanding programs supports Goals 1,2,3,4, and 6.

Population Targeting

The program is directed at elementary and secondary schools.

Services

The program, first authorized for FY 1989, continues the elementary and secondary school recognition programs, which had been conducted by the Department since FY 1983 under other authority. Elementary and secondary schools are selected in alternate years. Schools are competitively selected and nominated by State departments of education, the Bureau of Indian Affairs, the Department of Defense Dependents Schools, and Council for American Private Education. Nominated schools are reviewed by a panel of experts, which selects schools for on-site examination by other non-Federal experts. Selected schools are invited to Washington, D.C., to a ceremony celebrating their accomplishments.

In FY 1990, 221 elementary schools were selected for recognition from among the 497 nominated. Outstanding geography programs were highlighted. Eight of the 221 schools received special certificates from the National Geographic Society for having comprehensive geography programs. In addition, visual and performing arts was designated as an area for special emphasis, resulting in 17 schools receiving a plaque and letter of commendation from the Chairman of the National Endowment for the Arts.

In FY 1991, 222 secondary schools were selected for recognition from among the 490 nominated. Twenty-five of the Blue Ribbon Schools received special honors for outstanding arts programs from the National Endowment for the Arts. A new special emphasis, history, was identified; six recognized schools received special commendation from the National Endowment for the Humanities.

Program Administration

The selection of Blue Ribbon Schools is assisted by a contract awarded by the U.S. Department of Education.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Jean Narayanan, (202) 219-2138

Program Studies : Barbara Coates, (202) 401-1958

EDUCATION FOR NATIVE HAWAIIANS
(CFDA Nos. 84.208-84.210)

I. PROGRAM PROFILE

Legislation: The Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297, Title IV (20 U.S.C. 4901) (expires September 30, 1993).

Purpose: To authorize and develop supplemental educational programs to benefit Native Hawaiians, provide direction and guidance to appropriate Federal, State, and local agencies to focus resources on the problems of Native Hawaiian education, and supplement and expand existing programs and authorities to further the education of Native Hawaiians. The program consists of five components: (1) Curriculum Development; (2) Family-Based Education Centers; (3) Higher Education Demonstration; (4) Gifted and Talented Demonstration; and (5) Special Education.

Funding History

Fiscal Year	Appropriation
1989	$4,940,000
1990	6,419,000
1991	6,366,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program provides funds for education projects and support services for Native Hawaiians that address all of the six National Goals.

Program Administration

The five components of this program are administered by three separate offices in the Department of Education: the Office of Elementary and Secondary Education, the Office of Special Education and Rehabilitative Services, and the Office of Postsecondary Education.

In FY 1989, a three-year grant, continued in 1990 and 1991 and currently totaling $1,382,963, was awarded to Kamehameha Schools with subcontracts to the University of Hawaii and the State education agency (SEA) to implement, in appropriate Hawaiian public schools, the model curriculum developed by the Kamehameha Elementary Demonstration

School. Grantee-sponsored activities include comprehensive teacher training, educational support services, and research and development.

In FYs 1989, 1990, and 1991, the Department of Education awarded grants totaling $4,841,066 to Kamehameha Schools and $2,784,288 to Aha Punana Leo to develop and operate Family-Based Education Centers. During FY 1990 Kamehameha operated 11 centers that provided parent-infant programs and preschool programs to approximately 1,800 students and 200 parents. Aha Punana Leo operated five centers that provided these services to about 1,000 students and their parents.

A three-year grant, begun in FY 1989 and currently totaling $2,272,400, was awarded to the University of Hawaii at Hilo to establish a Gifted and Talented Center for demonstration projects to address the special needs of Native Hawaiian elementary and secondary school students who are gifted and talented and to provide support services to their families. In FY 1990, 19 demonstration projects assisted almost 2,000 students and their families.

In FY 1990, two grants totaling $1,678,000 were awarded to the Kamehameha Schools for a demonstration program to provide fellowships to undergraduate Native Hawaiian students and for a demonstration project to provide fellowships to Native Hawaiian students pursuing graduate degrees, with priority given to students seeking professions in which Native Hawaiians are under-represented.

Services

The family-based centers operated by the Kamehameha Schools and the Punana Leo organization provide educational services to the entire family to ensure the educational readiness of Native Hawaiian children as they enter kindergarten and to eliminate the need for special services at school. Programs offered at the centers are tailored to match the specific needs of the Native Hawaiian language and culture.

The family-based programs require parental involvement to achieve program effectiveness and to reach their goals to increase participation in prenatal care, lower the incidence of birth anomalies, improve academic readiness for kindergartners, reduce the number of children requiring special educational services, reduce stress among parents, and encourage parents to finish high school.

Outcomes

In FY 1991, the Department of Education reviewed the features of the family-based educational programs for Native Hawaiians and examined how they can serve as models for the development of other family-based programs in targeted communities. Preliminary evidence of the programs' success show that participants of the Kamehameha center-based preschools had better vocabulary scores than non-participants, and that the popularity of the

Punana Leo programs is reflected in the long list of students waiting to get in the program (III.2).

The review found that because the programs' developers understand the needs of the families they are serving, they are more effectively planning for resources and activities to fit the needs of the community. For example, the Kamehameha programs are providing practical solutions to specific problems observed among Native Hawaiians. These include identifying at-risk pregnancies and providing health education to improve birth outcomes; identifying developmental delays by using home visitors to monitor the growth and development of infants and toddlers; providing Travelling Preschools that bring appropriate activities to two- and three-year-olds who live in rural communities; and planning curriculum to improve deficiencies in language development and in literacy training (III.2).

The Native Hawaiians tend to utilize and participate more often in the programs and services provided through the family-based centers than in other early childhood programs for children at risk of educational failure. A reason cited for the poor participation is that services are often delivered in a culturally insensitive manner (III.2).

By recruiting local paraprofessionals who are familiar with the values, preferences, and patterns of helping the communities to serve as "culture-brokers," and by conducting classes in the Native Hawaiian language, the Kamehameha and the Punana Leo programs have gained acceptance. The "culture-brokers" ensure that families are comfortable participating in the programs (III.2).

III. SOURCES OF INFORMATION

1. Program files.
2. "Using Family-Based Educational Programs for Native Hawaiians As Models" (A summary paper prepared for the U.S. Department of Education by Westat, Inc., Rockville, MD, May 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Janice Williams-Madison, OESE, (202) 401-0344
Linda Glidwell, OSERS, (202) 732-1099
Walter Lewis, OPE, (202) 708-9393

Program Studies : Barbara Coates, (202) 401-1958

DWIGHT D. EISENHOWER MATHEMATICS AND SCIENCE EDUCATION STATE GRANT PROGRAM

(CFDA No. 84.164)

I. PROGRAM PROFILE

Legislation: Title II, Part A of the Hawkins-Stafford Elementary and Secondary Improvement Amendments of 1988 (Dwight D. Eisenhower Mathematics and Science Education Act), P.L. 100-297 (20 U.S.C.A. 2981) (expires September 30, 1993) as amended by P.L. 101-589, superseding the Education for Economic Security Act, Title II, P.L. 98-377.

Purpose: To provide financial assistance to State education agencies for elementary and secondary education (SEAs) and higher education (SAHEs), local education agencies (LEAs), institutions of higher education, Territories, and the Bureau of Indian Affairs to improve the skills of teachers and the quality of instruction in mathematics and science in public and private elementary and secondary schools.

Funding History

Fiscal Year	Appropriation 1/
1984	0
1985	$90,100,000
1986	39,182,000
1987	72,800,000
1988	108,904,000
1989	128,440,000
1990	126,837,000
1991	202,011,000

1/ The appropriation amounts exclude funds that support Title II National programs (20 U.S.C.A. 2989).

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program supports efforts to improve elementary and secondary mathematics and science education, which is the focus of Goal 3 (improve student achievement in critical subjects) and Goal 4 (improve mathematics and science achievement).

Population Targeting

The program supports preservice and inservice training and retraining of teachers and other school personnel and the recruitment of minority teachers, in the fields of mathematics and science. Over 90 percent of all LEAs and approximately 1,500 institutions of higher education have participated in the program (III.1).

Services

A two-year national study of the Education for Economic Security Act (EESA) Title II program was completed in 1990; the final report was issued in February 1991 (III.2). It included a mail survey of 1,600 local districts and 700 higher education projects, and site visits to 28 districts and 21 higher education projects in seven States. The study primarily describes program operations and administration, but also collected available information on the effect of Title II funds on teacher training and math and science education.

Although most of the data apply specifically to the 1988-89 school year (the last year of the EESA Title II program) the general findings of the study also apply to the Eisenhower program. Highlights of the study's findings include:

- The program was serving large numbers of the nation's teachers. Flow-through funds to districts and higher education grants together supported more than 600,000 professional development experiences ("slots" or opportunities) in 1988-89. Although there may be some duplication in this count, data indicate that at least one-third of all mathematics and science teachers benefited each year from services supported by the program (this includes elementary teachers, all of whom teach mathematics and some of whom teach science).

- More than 75 percent of all program funds supported professional development activities for teachers, including inservice training. Other activities included curriculum development, purchase of materials, supplies, and equipment.

- Flow-through funds were used by districts primarily to support inservice training, as well as out-of-district professional development. The latter included opportunities for teachers to attend professional conferences in science and mathematics education.

- In most States, the allocation to districts amounted to an average of about $30 per teacher. Typically, districts did not support high-intensity training. The average (median) amount of training that Title II supported for a participating teacher was six hours, but there was a wide range. Fifteen percent of participants received more than 18 hours of training.

- Higher education projects typically offered teachers many more hours of training than did district-sponsored activities, averaging 60 hours (median) per participating teacher.

These were frequently summer projects lasting several weeks, often offering graduate-level credit.

Many small LEAs pool their Eisenhower program funds, either by forming consortia or by turning their funds over to intermediate units such as Education Service Centers, which obtain training and other services for them. However, about 10 percent of very small districts do not participate in the program, largely because the amount of funding is too small to warrant a project. Institutions of higher education, which are funded competitively by the State agency for higher education (SAHE), work with one or more LEAs, and may provide services in partnership with businesses, museums, and other community organizations. Five percent of funds apportioned for programs at the LEA level are retained by the SEA to support demonstration and exemplary projects.

Program activities must emphasize science and mathematics instruction. Teacher training projects that involve computer instruction are authorized only in the context of mathematics and science programs, and LEAs can use funds to purchase computer or telecommunications equipment only at schools with at least a 50 percent low-income population, after all other training needs have been met. The program has also focused attention on improving access to instruction in these critical subjects by historically underrepresented and underserved groups, such as women and minorities.

Program Administration

The 1991 study found that the three components of the program (State leadership activities, flow-through funds to districts, and higher education grants) provide services that largely complement and reinforce one another (III.2).

A 1986 study found that generally there was also close cooperation between the State administrators of the Eisenhower program and the Chapter 2 program (III.3).
Funds are allocated to LEAs, in accordance with student enrollment counts and poverty criteria, upon the SEA's review and approval of LEA applications that include a description of the activities to be provided and their relationship to the LEAs' assessment of need.

Twenty-five percent of allotted funds go to the SAHE, which makes competitive awards to institutions of higher education to provide services to LEAs. The 1990 study found that grants average about $31,000 per project, but there is a large variation in grant size. They are typically for one year only. Nearly one-fifth of all institutions of higher education in the Nation have received Title II or Eisenhower grants. On average, only 4 percent of grant funds are used to pay for indirect costs at the host institution, far lower than the indirect costs typically associated with scientific or education grants. More than half of project directors are in mathematics and science departments, rather than in departments or schools of education (III.2).

States-- particularly SEAs-- have been required to assess their teacher training needs and to develop initiatives in mathematics and science, computer learning, and foreign languages to address these training needs (III.4). (Use of program funds to improve instruction in foreign languages and computers was a permissible activity under the predecessor statute, Title II of the Education for Economic Security Act, but is not allowable under the Eisenhower Act.) A review of the legislatively mandated State needs assessment reports indicates that most States have difficulty defining their most pressing needs and pursuing activities that go much beyond traditional inservice training activities. According to the report, the greatest need for improvement in teacher qualifications appears to be in science teaching at the elementary level and, to a lesser degree, in elementary mathematics teaching, particularly in improving problem solving approaches to instruction. At the secondary level, the major need was for updating content knowledge of teachers in mathematics, science, and foreign languages.

The 1990 study found that the Demonstration and Exemplary projects supported by State education agencies for elementary and secondary education and for higher education are numerous and modest in size. More than 700 were supported in 1988-89, averaging $17,000 each. These projects are highly varied and are typically designed to address key concerns within each State, such as efforts to educate teachers about new State curriculum frameworks or new high school graduation requirements (III.2).

Management Improvement Strategies

Model reporting instruments developed by the Department in consultation with the Eisenhower State Coordinators were utilized to collect data on the program for the first time in FY 1991. These data are more uniform and, therefore, more useful than those that have been available in previous years. Although use of these instruments is voluntary, more than 85 percent of the States have chosen to use them. These documents continue to be refined for more effective program assessment.

The Eisenhower State Grant Program and the Eisenhower National Program co-sponsor an annual national technical assistance conference in cooperation with the Eisenhower State coordinators and a broad range of Federal agencies and educational organizations.

The 1991 National Study of the program made several recommendations (III.2). Among these are (1) that States and LEAs focus more resources on projects of higher intensity and longer duration, and (2) that dissemination efforts be strengthened in order to provide State and local agencies with maximum information on effective and exemplary uses of funds. The program is exploring ways to comply with these recommendations.

The program has increased efforts to collaborate with national mathematics and science professional organizations as well as other Federal agencies with activities in national science-teacher training in order to maximize available resources and assure that information provided to State administrators represents the best in theory and practice.

III. SOURCES OF INFORMATION

1. Program files.
2. National Study of the EESA Title II Program, 1990.
3. Title II of the Education for Economic Security Act: An Analysis of First-Year Operations (Washington, DC: Policy Studies Associates, Inc., 1986).
4. State Needs Assessments, Title II EESA: A Summary Report (Washington, DC: Decision Resources Corporation, 1987).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Lee Wickline, (202) 401-1062

Program Studies : Joanne Wiggins, (202) 401-1958

MAGNET SCHOOLS ASSISTANCE PROGRAM
(CFDA No. 84.165)

I. PROGRAM PROFILE

Legislation: Title III of the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297 (20 U.S.C. 3021-3032) (expires September 30, 1993).

Purposes: To provide financial assistance to eligible local education agencies (LEAs) to support (l) the elimination, reduction, or prevention of minority-group isolation in elementary and secondary schools with substantial proportions of minority students; and (2) courses of instruction within magnet schools that will substantially strengthen the knowledge of academic subjects and marketable vocational skills of students attending these schools.

Grants are awarded to eligible LEAs for use in magnet schools that are part of an approved desegregation plan and are designed to bring together students from different social, economic, ethnic, and racial backgrounds. LEAs may use Magnet Schools Assistance program (MSAP) funds for (1) planning and promoting activities directly related to the expansion, continuation, or enhancement of academic programs and services offered at magnet schools; (2) purchasing books, materials, and equipment (including computers) and paying for the maintenance and operation of such equipment in magnet school programs; and (3) paying the salaries of certified elementary and secondary school teachers in magnet schools.

Funding History

Fiscal Year	Appropriation
1984	$75,000,000
1985	75,000,000
1986	71,760,000
1987	75,000,000
1988	71,805,000
1989	113,620,000
1990	112,201,000
1991	109,975,000[1]

1/ before offsets

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program addresses Goal 1 (readiness to learn in school), Goal 2 (increase in school graduation rate), Goal 3 (competency in subject matter and preparation for citizenship skills), and Goal 4 (achievement in math and science), by providing funds to expand, continue, and enhance academic programs and services in magnet schools.

Population Targeting

LEAs implementing a desegregation plan must be certified as eligible by the Department of Education's Office for Civil Rights.

Services

Programs serve students from kindergarten through grade 12 in a wide range of academic and vocational programs. Program curricula include math and science; classical studies; international business and commerce; broadcast journalism; Arabic, Chinese, Japanese, and Russian languages; computer technology; creative and performing arts; and environmental studies. Some schools integrate English as a Second Language into their program curriculum. In FY 1991, there were 64 awards to LEAs in 20 States. Grants ranged from $210,018 to $3,624,209 (III.1).

Program Administration

Grants are awarded competitively to eligible applicants. Applicants not funded in the last fiscal year of the previous funding cycle are given priority in distributing funds in excess of $75 million. In FY 1991, the first $75 million covered 40 grants; the remaining $34.9 million supported 24 awards. Grant awards ranged from $210,018 to $3,624,209. Grants may be funded for a second year, provided the grantee is making satisfactory progress towards achieving the purposes of the program.

A 1987 General Accounting Office study of the FY 1985 and FY 1987 MSAP's grant process indicated that qualified reviewers were selected and that the number of grants awarded to various geographical regions was proportional to their submission rate (III.2).

Outcomes

A 1983 study indicated that magnet schools in general can provide high-quality education in urban school districts for average as well as high-ability students. They can also have a positive effect on desegregation at the district level and on integration at the school level (III.3).

A 1987 study on school desegregation efforts concluded that voluntary magnet school desegregation plans increase interracial exposure over the long term and enhance the reputation of the school system, which may be particularly important to systems with a high proportion of minority students (III.4).

A 1989 study reexamining some of the programs included in the 1983 study (III.3) found that magnet school enrollment is increasing and that a smaller proportion of schools select students on the basis of academic criteria (III.5).

III. SOURCES OF INFORMATION

1. Program files.
2. Magnet Schools: Information on the Grant Award Process (Washington, DC: U.S. General Accounting Office, October 1987).
3. Survey of Magnet Schools: Analyzing A Model for Quality Integrated Education, a report prepared for the U.S. Department of Education, Office of Planning, Budget and Evaluation, by James H. Lowry and Associates (Washington, DC: 1983)
4. C. Rossell and R. Clarke, The Carrot or the Stick in School Desegregation Policy?, a report to the National Institute of Education, Grant NIE-G-83-0019 (Boston, MA: March 1987).
5. Rolf K. Blank, "Educational Effects of Magnet High School," draft published by the Wisconsin Center for Education Research, National Center on Effective Secondary Schools (Madison, WI: September 1989).

IV. PLANNED STUDIES

The Department of Education's Planning and Evaluation Service initiated a two-year national study of magnet schools in the fall of 1990. The study will include magnet schools associated with desegregation plans as well as other magnet, alternative, and specialty schools. Particular areas to be investigated include desegregation/resegregation and district-wide impacts.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Janice Williams-Madison, (202) 401-1059

Program Studies : Joanne Wiggins, (202) 401-1958

EDUCATION FOR HOMELESS CHILDREN AND YOUTH
(CFDA No. 84.196)

I. PROGRAM PROFILE

Legislation: Title VII-B of the Stewart B. McKinney Homeless Assistance Act, as amended (42 U.S.C. Sec. 11431 et seq.) (expires September 30, 1993).

Purpose: To provide formula grants to State education agencies (SEAs) to ensure that homeless children and youth have access to a free, appropriate public education. Funds are distributed to SEAs in the same proportions as under Section 1005 of Chapter 1 of Title I of the Elementary and Secondary Education Act, except that no State receives less than $50,000. Funds are used for establishing an Office of Coordinator of Education of Homeless Children and Youth; preparing and carrying out a State plan; providing direct services to homeless children and youth to enable them to enroll in, attend, and achieve success in schools; developing and implementing programs for school personnel to heighten awareness of homeless problems; and providing grants to support local activities for the benefit of homeless children and youth under Section 723.

Funding History

Fiscal Year	Appropriation
1987	$4,600,000
1988	4,787,000
1989	4,834,000
1990	7,404,000
1991	7,313,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Among the activities undertaken by the State coordinators supported by these grants is the identification and removal of legislative barriers, such as residency requirements, which could prevent homeless children or youth from having access to a free, appropriate public education. Exemplary program activities include developmentally appropriate early childhood programs for preschool-age children (Goals 1, 2, 3, 4, 5).

Population Targeting

The target population is homeless children and youth (including preschool-age children), especially those who may not be receiving a free, appropriate public education.

Services

The program under Section 722 mandates that 50 percent of local expenditures be targeted to instruction on the number and location of homeless children and youth, and the development and carrying out of State plans for their education. Required data gathering by SEAs is primarily directed toward local education agencies (LEAs), service providers, shelter operators, and advocacy groups. Strategies involved in implementing the State plans include reviewing and revising residency requirements that exist as components of compulsory school attendance laws and ensuring that each child or youth has access to a free, appropriate education. Objectives include alleviation of problems related to access and placement of children and youth in schools, and the alleviation of difficulties in identifying the special needs of such children. Under Section 723, States are authorized to make grants to LEAs for the purposes of the program.

Program Administration

Under Section 722, each State, the District of Columbia, Puerto Rico, the Bureau of Indian Affairs, and other territories have received funds, for a total of 56 awards.

Outcomes

A study was completed in FY 1990 to identify and describe 15 particularly promising or innovative education-related activities serving homeless children.

III. SOURCES OF INFORMATION

1. Education and Community Support for Homeless Children and Youth: Profiles of 15 Innovative and Promising Approaches. (Washington, DC: U.S. Department of Education, 1990).

2. Program files.

IV. PLANNED STUDIES

In FY 1991, the Department of Education contracted with the Urban Institute (in consultation with the Departments of Health and Human Services, and Housing and Urban Development) to conduct a study on methods of locating, counting, and identifying homeless children and youth--as required by Section 724(b)(2) of the McKinney Act. The final report of the study was sent to Congress on August 14, 1991. The report found that:

- A reanalysis of HUD and other available survey data would cost, at a minimum, $320,000. This option, however, would not yield the valid information in the areas that Congress has requested.

- A "stand-alone" study to determine the aggregated count of homeless children and youth nationally would cost $2.06 to $2.44 million to conduct and only provide national figures.
- A "stand-alone" study to determine aggregate national data of homeless children and youth in each of the 50 states and in the 30 largest cities would cost $12.35 million. This would dwarf the $7 million 1991 budget for P.L. 101-645 programs related to homeless children and youth.

Based on the costs, the Secretary recommended that a further independent study not be pursued.

The report also contains a schedule for obtaining and analyzing the required data no sooner than August 1994, which is more than one year later than the date set in the statute. However, the Congress did not appropriate additional FY 1992 funds for the authorized study.

The Department of Education, in conjunction with the Departments of Housing and Urban Development, Health and Human Services, and Veterans Affairs, is contributing to a current study by the Bureau of the Census to design a Federal survey of homeless persons and their needs.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Mary Jean LeTendre, (202) 401-1682

Program Studies : Joanne Bogart, (202) 401-1958

SCHOOL DROPOUT DEMONSTRATION ASSISTANCE PROGRAM
(CFDA No. 84.201)

I. PROGRAM PROFILE

Legislation: The Elementary and Secondary Act of 1965, as amended, Title VI, Parts A and C (20 U.S.C. 2701)(expires September 30, 1993).

Purpose: To reduce the number of children who do not complete their elementary and secondary education by providing Federal assistance to local education agencies (LEAs), community-based organizations, and educational partnerships.

Funding History

Fiscal Year	Appropriation
1988	$23,935,000
1989	21,736,000
1990	19,945,000
1991	34,064,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The School Dropout Demonstration Assistance Program supports the goal of increasing the high school graduation rate (Goal 2), through funding of dropout prevention and reentry programs.

Population Targeting

The projects are designed to establish and demonstrate (1) effective programs to identify potential student dropouts and prevent them from dropping out; (2) effective programs to identify and encourage children who have already dropped out to reenter school and complete their elementary and secondary education; (3) effective programs for early intervention designed to identify at-risk students at the elementary and early secondary school levels; and (4) model systems for collecting and reporting information to local school officials on the number, ages, and grade levels of children not completing their elementary and secondary education and reasons why they have dropped out of school.

Services

Most of the dropout prevention projects awarded in FY 1991 fall into one of two models: (1) restructuring and reform projects that affect a cluster of schools (a high school and its feeder middle and elementary schools); or (2) targeted programs for at-risk youth, which include such approaches as special programs for at-risk youth in regular schools, "schools within schools," and alternative schools. Grantees in each of these two categories are demonstrating programs that include a set of components specified by the Department of Education and widely believed to be central to effective interventions. These include components directed at improving the curriculum, systematically monitoring student attendance and taking prompt follow-up action as warranted, increasing and improving the quality of family involvement in the student's education, coordinating access to necessary social and support services, and facilitating transitions from elementary to middle schools and from middle to high schools. The restructuring projects are expected to include additional components to enhance autonomy for principals and teachers, foster a positive school climate, promote innovative retention practices, and provide appropriate staff training to meet restructuring goals. The targeted projects are expected to develop and implement accelerated learning strategies as one aspect of their curriculum improvement, and to include counseling and career awareness components.

In addition to the cluster and restructuring projects that included all of the components specified by the Department of Education, grants were awarded to support "field-initiated" projects. These projects share the overall goals of the demonstration, but they were not constrained to conform to either the restructuring or the targeted models.

Program Administration

Sixty-five grants were awarded in FY 1991 for a period of up to four years. Eight grants were awarded under the priority for schoolwide restructuring and reform within school clusters--that is, a high school and its feeder elementary and middle schools. Forty-nine grants were made under the priority for comprehensive programs targeted to at-risk youths, and eight grants were awarded for support field-initiated approaches. By statute, funding was limited to applicants (1) proposing to replicate successful programs conducted in other local education agencies or to expand successful programs within a local education agency; and (2) having a very high number or high percentage of school dropouts. Funds were allotted in four categories: 25 percent to LEAs with a total enrollment of 100,000 or more; 40 percent to LEAs with a total enrollment of at least 20,000 but less than 100,000; 30 percent to LEAs with a total enrollment of less than 20,000; and 5 percent to community-based organizations. In each of the first three categories, up to 50 percent of the funds were available to educational partnerships. The Federal share of grants under this program was a maximum of 90 percent of a project's cost in the first year and 75 percent in following years.

Outcomes

The Office of Policy and Planning is conducting a longitudinal evaluation of dropout prevention projects funded in FY 1989 under the School Dropout Demonstration Assistance Program. These projects were in operation during the 1988-89, 1989-90, and 1990-91 school years. A descriptive survey of program operations during the 1989-90 school year found that although all 89 projects were aimed at helping at-risk students stay in school, they were characterized by considerable diversity (III.2.):

- Many projects operated through the local school district and offered services within school settings, while others operated independently of the school system and maintained separate facilities.
- Overall, black and white students were the two racial/ethnic groups most served by the projects. While the median percentage of Hispanic participants across all projects was low, 18 percent of K-8th grade projects, 19 percent of 9th-12th grade projects, and 10 percent of multi-level projects served primarily Hispanic students (50 percent or more).
- A wide variety of criteria were used in identifying and selecting project participants. Teacher recommendations, poor attendance, and being over age for grade were the most frequently used criteria for projects serving K-8th grade students. For projects serving 9th-12th grade students, discipline problems was the most frequently cited identification criterion, and courses passed/failed and poor attendance were the most commonly cited selection criteria.
- Overall, a large proportion of the projects were operating at or above maximum capacity. The exception was projects serving 9th-12th graders; 67 percent reported that students declined to participate. This may reflect the fact that older students are required to apply for the program, rather than being enrolled automatically. This finding suggests that projects need to examine why older students might decline to participate or fail to apply for admission to the project.
- The projects provided a wide range of services. Over 70 percent offered instruction in basic skills. Small group instruction, individualized instruction, and computer-assisted instruction were frequently used and rated of high importance by project directors. Projects serving 9th-12th grade students frequently used alternative settings; 63 percent reported using summer school and alternative classes, 50 percent used evening classes, and 38 percent reported using a "school-within-a-school" and flexible hours.
- Approximately 80 percent of the projects offered personal and/or family counseling services. Fewer than half of the projects offered health services; 38 percent of projects serving 9th-12th graders offered parenting classes.

- Across all projects, providing special communications to parents about their child's school progress and involving parents in the school's major disciplinary actions towards their child were the methods most frequently used to encourage parental involvement.

- A shortage of trained staff was the most frequently mentioned obstacle to operations (21 percent of K-8th grade projects, 19 percent of 9th-12th grade projects, and 30 percent of multilevel projects). Many projects reported that inability to obtain enough skilled staff prevented them from becoming operational as quickly as expected.

- The majority of students in each grade level were expected to remain in the project during 1990-91, the next school year. Older students were more likely to drop out of their programs or be asked to leave; the vast majority chose to leave rather than being asked to leave. The most frequent known reasons for leaving a program were wanting a job or becoming a parent, but, in fact, in most cases it appears that the reason for leaving was not known or was not recorded.

- Among students who remained in the program during the 1989-90 school year, absence rates increase with grade level. The median percent absent more than 20 days was 20 percent for re-entry students, 17 percent for students in grades 9-12, 14 percent for those in grades 6-8, and 10 percent for the youngest students (K-5).

An in-depth longitudinal evaluation of 15 projects is also being conducted using a matched comparison group design. The first interim report, to be released in 1992, describes the 1989-90 activities and summarizes preliminary outcomes of the 15 projects (III.3.). The final report, to be released early in 1993, will include analyses of student outcome data and efffective strategies in dropout prevention. Of the 15 sites selected, four targeted elementary school students, five targeted middle school students, and six targeted high school students.

- Although most elementary school projects included some type of academic component, often their more basic aim was to help children adjust to the new experience called "school." Activities to make school fun or to entice very shy or unmotivated children into participation are intermediate goals that might then lead to improved school performance and ultimately to graduation. All of the projects had a strong parent component and this strategy was generally more successfully implemented than in projects targeting middle and high school students.

- The middle school years are commonly understood to be a crucial time in dropout prevention in that unexcused absences, lack of attention to coursework, and disruptive behavior increase for many future dropouts. Four of the five middle school projects addressed both students' academic and social participation in school. The fifth project provided support services to address drug abuse and family violence problems that interfere with school and may eventually cause students to drop out. All projects emphasize counseling and parent involvement; one project required parents to attend regular parenting classes.

- The six projects serving high school students differ in important respects from interventions designed for elementary or middle school students. Recognizing that at-risk students are often "turned off" by the traditional organization of high school, the projects aim to improve participants' academic achievement, typically through some form of alternative instructional strategy or organization. Three projects place considerable emphasis on a variety of employment-related services including employability skills and paid work experience.

III. SOURCES OF INFORMATION

1. Program files.

2. Evaluation of Projects Funded by the School Dropout Demonstration Assistance Program, Final Report for 1989-90 Descriptive Survey of All Projects (Palo Alto, CA: American Institutes for Research, 1992).

3. Evaluation of Projects Funded by the School Dropout Demonstration Assistance Program, Final Report for 1989-90 In-Depth Evaluation of 15 Projects (Palo Alto, CA: American Institutes for Research, forthcoming).

IV. PLANNED STUDIES

The Office of Policy and Planning, in cooperation with the Office of Elementary and Secondary Education, is conducting an assessment of the projects funded under this program in FY 1991 and FY 1992 in order to evaluate their effectiveness in high school dropout prevention and reentry. The evaluation will include an annual descriptive survey of all projects and an indepth longitudinal evaluation of selected projects. The first interim report is scheduled for January 1994 with a final report in August 1996.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Janice Williams-Madison, (202) 401-0344

Program Studies : Audrey Pendleton, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES COUNSELOR TRAINING GRANTS PROGRAM
(CFDA No. 84.241A)

I. PROGRAM PROFILE

Legislation: Part C (Sections 5129 and 5130) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3202, 3203) (expires September 30, 1993).

Purpose: To provide assistance to State education agencies (SEAs), local education agencies (LEAs), and institutions of higher education (IHEs) to support training programs for counselors, social workers, psychologists, or nurses in drug and alcohol abuse education and prevention. A private, nonprofit agency is eligible to apply under this program if it has an agreement with an LEA to provide training in drug abuse counseling to individuals who will provide such counseling in schools.

Funding History

Fiscal Year	Appropriation
1991	$ 3,395,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports safe, drug-free schools (Goal 6) by providing training to counselors, psychologists, social workers, or nurses who provide drug abuse prevention, counseling, or referral services in elementary and secondary schools.

Population Targeting

Counselors , social workers, psychologists, or nurses in elementary and secondary schools are the intended recipients of training.

Services

Fifty-three grants were awarded in FY 1991 at an average cost of $64,000.

Program Administration

In FY 1990, counselor training was an invitational priority under the School Personnel Training Grants Program (CFDA No. 84-207). This competition was conducted separately for the first time in FY 1991.

Management Improvement Strategies

Department staff are currently involved in developing regulations for this program.

III. SOURCES OF INFORMATION

1. Project files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : John Mathews, (202) 401-1599

Program Studies : Kimmon Richards, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES EMERGENCY GRANTS PROGRAM
(CFDA No. 84.233A)

I. PROGRAM PROFILE

Legislation: Section 5136 of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3261) (expires September 30, 1993).

Purpose: To provide assistance to local education agencies (LEAs) that demonstrate significant need for additional assistance for purposes of combating drug and alcohol abuse by students served by such agencies.

Funding History

Fiscal Year	Appropriation 1/
1990	24,688,000
1991	24,331,000

1/ Funds for the Emergency Grants Program in FY 1990 were appropriated and administered through the State and Local Grants Program (CFDA No. 84-186, Chapter 115). Thereafter, funds have been competitively awarded to LEAs.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports safe, drug-free schools (Goals 6) by providing additional funds to LEAs that have significant drug and alcohol abuse problems.

Services

In FY 1991, the Department of Education funded 71 grants at an average of $343,000. Funded projects include:

- A project to provide comprehensive student assistance services in eight middle schools (Florida);

- A supplemental program for high-risk children and their parents that focuses on improving students' relationships at home and in school (Idaho); and
- An early childhood drug abuse prevention program for students in grades K-3 and their parents (Illinois).

Program Administration

As of FY 1991, this program has operated as a grants competition. Projects are are funded for up to two years. Awards were made to 12 States and the District of Columbia.

Management Improvement Strategies

Department staff are currently involved in efforts to improve targeting of funds to areas with greatest need.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ruth Tringo, (202) 401-1599

Program Studies : Kimmon Richards, (202) 401-3630

OFFICE OF BILINGUAL EDUCATION AND MINORITY LANGUAGES AFFAIRS

BILINGUAL EDUCATION PROGRAMS--
DISCRETIONARY GRANTS TO LOCAL EDUCATION AGENCIES--PART A
(CFDA No. 84.003)

I. PROGRAM PROFILE

Legislation: The Bilingual Education Act of 1984, P.L. 98-511, as amended by the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297, Title VII, Part A (20 U.S.C. 3291-3292) (expires September 30, 1993).

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$7,500,000	1985	$95,099,000
1970	21,250,000	1986	91,010,000
1975	53,370,000	1987	99,161,000
1980	115,863,00	1988	101,198,000
1981	107,017,00	1989	110,761,000
1982	86,579,000	1990	115,779,000
1983	86,526,000	1991	121,036,000
1984	89,567,000		

Purpose: To assist local education agencies (LEAs) and other eligible grantees in the development and support of instructional programs for students with limited English proficiency (LEP). By statute, Part A programs are to receive at least 60 percent of Bilingual Education Act funds.

Program Components: Discretionary grants are awarded to LEAs and other eligible recipients to develop and conduct the following types of programs:

- Transitional Bilingual Education. A program designed to provide structured English language instruction and, to the extent necessary to allow a LEP child to achieve competence in English, instruction in the native language, and incorporate the cultural heritage of the child and other children in American society. Such instruction must, to the extent necessary, be in all courses or subjects of study to allow students to meet grade promotion and graduation requirements.

- Developmental Bilingual Education. A full-time program designed to provide structured English language instruction and instruction in a non English language in order to help students achieve competence both in English and in a second language while mastering subject-matter skills. The instruction must be, to the extent necessary, in all courses or subjects of study to allow a child to meet grade promotion and graduation requirements. Where possible, classes must be composed of approximately equal numbers of students whose native language is English and LEP students whose native language is the second language of instruction.

- Special Alternative Instruction. A program designed to provide structured English-language instruction and special instructional services that will allow a LEP child to achieve competence in the English language and to meet grade promotion and graduation standards. These programs are neither transitional nor developmental but have specially designed curricula and are appropriate for the particular linguistic and instructional needs of the children enrolled. Native language instruction is neither required nor prohibited.

- Academic Excellence. A program designed to facilitate the dissemination of effective bilingual practices of transitional or developmental bilingual education or special alternative instruction projects that have an established record of providing effective, academically excellent instruction and are designed to serve as models of exemplary programs.

- Family English Literacy. A program of instruction to help LEP adults and out-of-school youth achieve competence in English; the subject matter may be taught either entirely in English or in English and the native language. To the extent feasible, preference for participation is given to parents and immediate family members of students enrolled in other programs assisted under the Bilingual Education Act.

- Special Populations. Programs of instruction for LEP students in preschool, special education, and gifted and talented programs which are designed to be preparatory or supplementary to programs such as those assisted under the Act.

FY 1991 Grant Awards

Program Type	Number of Proposals Funded	Funding
Transitional Bilingual Education	501	$77,144,000
Developmental Bilingual Education	25	4,746,000
Special Alternative Instruction	212	23,773,000
Academic Excellence	17	3,076,000
Family English Literacy	39	5,353,000
Special Populations	45	6,944,000
TOTAL	815	$121,036,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Title VII Bilingual Education Program supports projects which provide LEP students with instructional and support services to enable them to function in school and life (Goals 2, 3, and 5). These may include preschool (Goal 1).

Performance Indicators

- o Title VII serves approximately 14 percent of the 2.1 million students identified by States as limited-English-proficient.

- o A passive learning environment with little student discourse characterized the three bilingual instruction models observed in a recent study, as has been found in other foreign language and ESL classrooms.

- o In the same study, students showed growth at rates as fast or faster than the norming population. Students in the early-exit programs appear to be more successful than in the immersion programs in reading at the kindergarten and first grade levels.

Population Targeting

According to State education agency (SEA) Title VII grantees, there were 2.2 million LEP students in the 1990-91 academic year. An estimated 309,849 students were served in projects funded under Title VII Part A in 1991 (III.1).

A study of student selection procedures found that, when a student speaks some English, different oral language proficiency tests often disagree as to whether the student should be classified as LEP. Classification of such students as LEP depends on what test is used and how high or low a local district or State chooses to set cut-off scores for selection into or exit from the program (III.2).

A study of 54 Family English Literacy Program projects funded from 1985 to 1989 (III.3) found the following:

- o Projects served a greater number of mothers than any other identified group; mothers were five times more likely to participate alone than fathers or both parents.

- o About a third of the projects reported waiting lists for participants, with an average of 55 people waiting to enroll in the projects and a waiting period of four months.

- o 82 percent of participants were born outside the U.S., 49 percent had lived in the U.S. five years or less.

Services

A six-year study of three bilingual education instructional approaches (the immersion strategy, the early-exit, and late-exit transitional programs) for Spanish-speaking students (III.4) found that:

- Immersion programs use English almost exclusively (94 to 99 percent); early-exit teachers use English approximately two-thirds of the time in kindergarten and first grade, subsequently increasing its use to approximately three-fourths of the time in grade two, more than three-fourths in grade three and almost all the time in grade four. Late-exit programs use English very little in kindergarten, one-third of the time in first and second grades, about half the time in third grade, about 60 percent of the time in fourth grade and about three-fourths of the time in grade six.

- Contrary to expectations, the amount of time LEP students remain in immersion strategy, early-exit, and late-exit programs is about the same. In theory, both immersion and early-exit programs call for mainstreaming within two or three years. However, this study found that over two-thirds of the students in the immersion strategy and over three-fourths of the early-exit students are not mainstreamed after four years in their respective bilingual programs.

- A higher percentage of late-exit students (about one-third) are reclassified from LEP to fully English proficient (FEP) than are students in either immersion strategy (22 percent) or early-exit (19 percent) programs.

- As in many foreign language and ESL classrooms, a passive learning environment characterizes classrooms across all programs, limiting opportunities to produce and develop language. Students produce language only when directly working with a teacher and then only in response to teacher initiations. Teacher questions are typically low-level requests for simple information recall.

- While the majority of parents in all three approaches report that they read to their children in Spanish or English, more late-exit and early-exit parents than immersion-strategy parents help with or monitor their children's homework, suggesting a relationship between the use of the native language in instruction, native language literacy in the home, parental involvement in homework, and student achievement.

- Bilingual teachers vary across the three approaches with respect to their language proficiency and bilingual training. Late-exit teachers are more proficient in the students' native language and have advanced bilingual training. By contrast, immersion and early-exit teachers are not sufficiently proficient in the native language to teach it, and do not have as much advanced training.

A special study of American Indian students in a sample of 11 public and tribal schools receiving Title VII funds found that the major portion of the overall instruction these students received was in English language arts: approximately 58 percent of the weekly hours received by the second graders and 47 percent of the hours received by fourth graders. About 71 percent of the second graders received special instruction in English; about 43 percent of the fourth graders received such instruction. Overall, the students received less than two hours a week in the language arts of the Indian language (III.6).

A study of exemplary Special Alternative Instructional programs identified the following common themes in instructional design and practice at nine exemplary sites: alignment of the curriculum with mainstream instruction programs; effective program staffing; peer teaching; native language support; parental involvement; and use of local resources (III.7).

A study of 54 Family English Literacy Program projects found that projects dedicated 50 percent of their time to English literacy instruction. The remainder was dedicated to either native language literacy, parent education and training, parent/child activities, and pre-employment skills (III.3).

An evaluation of the 15 preschool projects of the Special Populations Program (III.8) found the following:

- The projects represented a diversity in philosophy and practice of bilingual education. Some projects provided instruction predominantly in English, some predominantly in the native language, and others placed equal emphasis on both languages.
- There was a difference in the degree to which projects were developmentally appropriate for preschool children. Those less appropriate offered predominantly teacher-directed activities and focused on cognitive and language skills. Those more appropriate allowed children to direct their own learning and progress at their own pace; these programs were concerned with the development of the "whole child," rather than only the child's intellectual/language skills.
- All projects offered services for children above and beyond classroom activities, such as parent training, family counseling, transportation, meals and snacks, health services, and social service referrals.
- In most projects, the ethnicity of the staff matched that of the children and some, if not all, of the staff spoke the language of the children.

Program Administration

Assistance provided under Title VII should contribute to building the capacity of a grantee to continue or expand services to LEP students after Federal funding is reduced or no longer available. The capacity of local projects to do so, however, is affected by the absence of Title VII funding. Of the 54 Family English Literacy projects studied, 15 projects reported they would continue with school district funding, 9 with State funding, 4 with other Federal funding, 2 with foundation and private funding, and 2 with city funding. The remaining 22 projects would not continue if no other source of funding was found (III.3). Preschool projects that received full funding from the Special Populations component seemed less likely to be able to continue than those for which Title VII funding was supplementary (III.8).

Outcomes

The six-year study of three instructional approaches referenced above looked at programs for Spanish-speaking students, and found the following (III.3):

- After four years in their respective programs, immersion and early-exit students demonstrated comparable skills in mathematics, language and reading when tested in English.
- Among the three late-exit sites, students in the two sites that used the most Spanish posted higher growth in mathematics skills than the site which abruptly shifted into almost all-English instruction.
- Students in all three bilingual education programs realized growth in English language and reading skills that was as fast or faster than the norming population.

A study of the Family English Literacy Program found that both participants and project directors reported that the most important achievements were improved English proficiency, literacy, and parenting skills, and greater involvement in their children's education (III.7).

An evaluation of the preschool component of the Special Populations Program (III.8) found that:

- Students in each project were observed to gain some skill in English. Many began the year with no knowledge of English and gained rudimentary skill.
- On a scale from 1 to 5, with 1 and 2 representing "non-English speaker" and 3 "limited-English speaker," projects' average scores at the end of the year ranged from 1.8 to 3.1. However, because of the questionable validity of assessing students at this young age, interpretation of these test scores may be problematic at best.
- Kindergarten and first-grade teachers reported project participants to be ahead of children who had not attended preschool in the wide range of cognitive, social/emotional, and motor skills needed by elementary school students.

The above-referenced special study of American Indian students in schools using Title VII funds showed that students scored substantially below the national norm on standardized achievement tests. On a nonverbal aptitude test, however, they scored at about the national norm, indicating that schools are not tapping their potential (III.6).

Management Improvement Strategies

Program Monitoring: Through on-going training meetings for staff, and Management Training Institutes for Title VII State and project directors, OBEMLA has attempted to keep participants abreast of current research in the field, improved project monitoring activities, and strengthened program administration capabilities.

Program Evaluation: A number of studies in recent years have pointed to challenges in the evaluation of Title VII programs that are faced by OBEMLA. Local project staff have asked the Department to provide more explicit evaluation requirements, eliminate ones deemed excessive, and provide more assistance in meeting those requirements. State and local education personnel have commented on the limited coverage provided by the two Evaluation Assistance Centers, given their current level of staff resources. Finally, there exists wide variability in the completeness and quality of evaluation plans and reports provided by local grantees.

In FY 1991, the program office developed a number of initiatives to improve the receipt, review and use of grantee evaluation reports. OBEMLA:

- Developed a detailed set of data collection and reporting forms for use by the new developmental bilingual grantees. Based on the results of the first year of implementation by the developmental bilingual grantees, the program office plans to extend the use of these or similar data collection and reporting forms to the other Part A grantees.

- Established a more effective system for keeping track of its grant files. Many evaluation reports (46 percent) were missing from both OBEMLA and Grants and Contracts Service (GCS) files. Neither OBEMLA nor GCS had a system for logging receipt of required evaluation reports, or for following up on missing reports. Under a new system, all evaluations will be received by OBEMLA, logged in, then sent to GCS.

- Raised the possibility of discontinuing funding of projects which fail to submit evaluation reports. In at least two cases, the threat of withdrawal of funds was enough to ensure compliance.

III. SOURCES OF INFORMATION

1. Program files.

2. Pelavin, S., et al., Selection Procedures for Identifying Students in Need of Language Services (Washington, DC: Pelavin Associates, Inc., 1988).

3. Gunderson, D., et al., Descriptive Study of the Family English Literacy Program (Reston, VA: Atlantic Resources Corporation, 1991).

4. Ramirez, D., et al., Longitudinal Study of Structured English Immersion Strategy, Early-Exit and Late-Exit Transitional Bilingual Education Programs for Language-Minority Children, Volumes I and II. (San Mateo, CA: Aguirre International, February 1991).

5. Assessing Evaluation Studies: The Case of Bilingual Education Strategies (Washington, DC: National Academy Press, 1992).

6. Academic Performance of Limited-English-Proficient Indian Elementary Students in Reservation Schools (Arlington, VA: Development Associates, 1988).

7. Tikunoff, W. J., et al., A Descriptive Study of Significant Features of the Exemplary Special Alternative Instructional Program (Los Alamitos, CA: SouthWest Regional Educational Laboratory, 1991).

8. Brush, L., et al., Descriptive Evaluation of the Preschool Special Populations Program (Washington, D.C.: Pelavin Associates, Inc., 1992).

IV. PLANNED STUDIES

See Chapter 202.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	Rudy Munis, (202) 732-5703--Transitional Bilingual Education, Special Alternative Instructional Programs, and Developmental Bilingual Education Programs, OBEMLA
	John Ovard, (202) 732-5725--Academic Excellence, Special Populations, and Family English Literacy Programs, OBEMLA
Program Studies :	Carmen Simich-Dudgeon, (202) 732-5072 -- Research and Evaluation, OBEMLA
	David Moguel, (202) 401-1958, Office of Policy and Planning

BILINGUAL EDUCATION PROGRAMS--DATA COLLECTION, EVALUATION, AND RESEARCH--PART B

(CFDA No. 84.194)

I. PROGRAM PROFILE

Legislation: Part B of the Bilingual Education Act of 1988, Title VII of the Elementary and Secondary Education Act, as amended, (20 U.S.C. 3301-3307) (expires September 30, 1993).

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1975	$7,830,000	1986	$9,991,000
1980	20,775,000	1987	10,370,000
1981	18,375,000	1988	9,928,000
1982	18,957,000	1989	10,772,000
1983	16,557,000	1990	10,838,000
1984	13,502,000	1991	11,632,000
1985	10,600,000		

Purposes: To support: (1) the collection of data on the number of limited English proficient (LEP) persons and the educational services available to them; (2) the evaluation of Title VII program operations and effectiveness; (3) research to improve the effectiveness of bilingual education programs; and (4) the collection, analysis, and dissemination of data and information on bilingual education.

Program Components: Contracts and grants are made under Part B to support the following activities:

- State program grants provide assistance to State education agencies (SEAs) to collect, analyze, and report data on the LEP population and the educational services provided or available to that population. The State grants may also be used to provide technical assistance to, and coordination with, bilingual education projects in the State.

- Evaluation Assistance Centers (EACs) grants to institutions of higher education (IHEs) provide technical assistance to SEAs or local education agencies (LEAs) in techniques for assessing the educational progress achieved through programs such as those assisted under the Act and for identifying the educational needs and competencies of LEP students.

- The National Clearinghouse on Bilingual Education collects, analyzes, and disseminates information on bilingual education and related programs.

- The Bilingual Research and Evaluation program supports a number of studies to examine and improve the operations and effectiveness of bilingual education programs and practices.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Though this program does not address any goal directly, its purpose would generally support research and evaluation to improve the graduation rate and academic performance (Goals 2 and 3) of limited-English-proficient students.

Activities Supported

In FY 1991, the Department of Education awarded 54 State program grants, as well as grants for two Evaluation Assistance Centers (III.1). Several major research and evaluation studies were completed in FY 1992, and their findings are discussed in Chapter 201. These included studies of the Special Alternative Instructional Program, the Family English Literacy Program, and the Special Populations Program (III.2, 3, and 4). The Innovative Approaches Research Project developed and studied model projects in science education, special education, dropout prevention and literacy. These model projects make use of common approaches, including cooperative learning techniques and culturally relevant instructional techniques (III.5).

A second annual conference on issues of evaluation and measurement took place in October of 1991, with conference proceedings to be printed in 1992. A third annual conference on issues of services to middle- and high-school LEP students was planned for August of 1992. Title VII funds also contributed to the support of the National Education Longitudinal Survey of 1988 (NELS:88), 2nd Follow-Up, conducted by the National Center for Education Statistics, and to the National Longitudinal Study of Chapter 1. Also continuing with Title VII support were a study of LEP data supplied by LEAs, and an analysis of SEA and LEA capacity building.

In October of 1990, the Department of Education requested the National Academy of Sciences (NAS) to review two major, multi-year evaluation studies of bilingual education, the National Longitudinal Study of the Effectiveness of Instruction of LEP Students, and the Longitudinal Study of Structured English Immersion Strategy, Early-Exit and Late-Exit Transitional Bilingual Education Programs for Language-Minority Children. The NAS was asked to review the methodology employed by each study, to assess whether additional analyses of the data would be productive, and to provide the Department with advice on conducting such studies in the future. The panel found the following:

- Because of the poor articulation of study goals and the lack of fit between the discernible goals and the research design, it is unlikely that additional statistical analyses of these data will yield results central to the policy questions to which these studies were originally addressed.

- Both the studies suffered from excessive attention to the use of elaborate statistical methods intended to overcome the shortcomings in the research designs.

- The absence of clear findings in the studies that distinguish among the effects of treatments and programs relating to bilingual education does not warrant conclusions regarding differences in program effects, in any direction. The studies do not license the conclusion that any one type of program is superior to any other or that the programs are equally effective.

- The main recommendation of the NAS for future efforts is to avoid overly ambitious large-scale studies implemented in broad national populations, and to concentrate instead on smaller-scale comparative studies of different programs as they apply to different communities. The NAS recommended carefully specified designs in which the federal government defines treatments and tests these treatments through randomized assignment.

Several studies were begun in FY 1991. In addition to a nationally representative study of services for LEP students, these included a study of content-based ESL practices, an evaluation of the Academic Excellence Program, and a study to prepare a handbook of exemplary bilingual parent involvement projects.

III. SOURCES OF INFORMATION

1. Program files.

2. Tikunoff, W. J., et al., A Descriptive Study of Significant Features of the Exemplary Special Alternative Instructional Program (Los Alamitos, CA: SouthWest Regional Educational Laboratory, 1991).

3. Gunderson, D., et al., Descriptive Study of the Family English Literacy Program (Reston, VA: Atlantic Resources Corporation, 1991).

4. Brush, L., et al., Descriptive Evaluation of the Preschool Special Populations Program (Washington, D.C.: Pelavin Associates, Inc., 1991).

5. Rivera, C., et al., Innovative Approaches Research Project Draft Performance Report (Arlington, VA: Development Associates, August 1990).

6. Burkheimer, Jr., G.J., et al., National Longitudinal Evaluation of the Effectiveness of Services for Language-Minority Limited English Proficient Students (Research Triangle Park, NC: Research Triangle Institute, 1990).

7. Ramirez, D., et al., Longitudinal Study of Immersion Strategy, Early-Exit and Late-Exit Transitional Bilingual Education Programs for Language-Minority Children, Volumes I and II. (San Mateo, CA: Aguirre International, February 1991).

8. Assessing Evaluation Studies: The Case of Bilingual Education Strategies (Washington, DC: National Academy Press, 1992).

IV. PLANNED STUDIES

Several studies are planned to be awarded or begun in FY 1992. These include a contract to automate and report on grant data through a Special Issues Analysis Center, a synthesis of ED-sponsored research on bilingual education, a descriptive study of instructional practices serving Asian Pacific American students, a conference on a national estimate of the size of the LEP population, and a set of commissioned papers and a conference on teaching and learning issues concerning middle- and high-school LEP students. A review of local Title VII project evaluation practices and uses of evaluation is due to be completed in FY 1993.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Rudy Munis, (202) 732-5703--State Educational Agency Program, OBEMLA

Program Studies: Carmen Simich-Dudgeon, (202) 732-5706--Research, Evaluation Assistance Centers, Bilingual Clearinghouse, OBEMLA

David Moguel, (202) 401-1958--Office of Policy and Planning

BILINGUAL EDUCATION PROGRAMS--TRAINING AND TECHNICAL ASSISTANCE--PART C
(CFDA No. 84.195)

I. PROGRAM PROFILE

Legislation: Part C of the Bilingual Education Act of 1988, Title VII of the Elementary and Secondary School Act, as amended, (20 U.S.C. 3321-3325) (expires September 30, 1993).

Funding History:

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$0	1985	$33,566,000
1970	0	1986	32,123,000
1975	21,000,000	1987	33,564,000
1980	30,325,000	1988	35,447,000
1981	32,075,000	1989	30,413,000
1982	28,836,000	1990	31,913,000
1983	31,288,000	1991	36,065,000
1984	32,610,000		

Purpose: To develop the human resources necessary to conduct instructional programs for students with limited English proficiency (LEP).

Program Components: Grants and contracts are awarded under Part C to support the following activities:

- Educational Personnel Training. Provides financial assistance to institutions of higher education (IHEs) to establish, operate, or improve projects to train teachers, administrators, paraprofessionals, parents, and other personnel participating or preparing to participate in programs for LEP students.

- Fellowships. Provides fellowships at IHEs for postbaccalaureate study in bilingual education including teaching, training, curriculum development, research and evaluation, and administration. Recipients are required to work in an area related to educational programs for LEP persons or to repay their fellowships.

- Training Development and Improvement Program. Provides financial assistance to IHEs to encourage reform, innovation, and improvement in training programs.

- Short-Term Training. Provides financial assistance to local education agencies (LEAs), State education agencies (SEAs), for-profit and non-profit organizations, and IHEs, for the operation of short-term training projects to improve the skills of education personnel and parents participating in programs for LEP persons.

- Multifunctional Resource Centers (MRCs). Contractors provide technical assistance and training to SEA and LEA staff providing programs for LEP students.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Though this program element does not address any goal directly, its purpose would generally support achievement of the goals which Title VII addresses. Title VII supports projects which provide LEP students with instructional and support services (Goals 2, 3, and 5), preschool services (Goal 1), and gifted and talented projects (Goal 4).

Performance Indicators

- To date, the Bilingual Fellows Program has assisted in graduating a majority (52 percent) of the graduate students supported by the program.

- Some 82 percent of all Fellows were engaged or had been employed in work related to the education of limited-English-proficient persons.

Services

In FY 1991, Part C funds were awarded as follows (III.1):

Program	Number of Awards	Funding
Education Personnel Training	105	$17,592,276
Fellowships	39	3,653,777
Training Development and Improvement	4	365,249
Short-Term Training	34	3,654,229
MRCs	16	10,800,000
TOTAL	198	$36,065,000

Outcomes

An evaluation of the Bilingual Fellowship program indicates that, for the period 1979 to 1987 (III.2):

- 52 percent of all Fellows have completed their advanced degrees. The highest rate of degree completion was achieved by holders of master's degrees (83 percent), followed by post-master's (72 percent), and doctoral degrees (46 percent). Doctoral students comprised 1,432 of the total 1,721 Fellows. (Note: nationwide, the average time required to complete a doctoral degree is in excess of eight years.)

- Of the remaining Fellows who had not completed their degrees, 312 (38 percent) had withdrawn due to discontinuation of program funding; the cost of further enrollment would have been borne by individual Fellows.

- More than 90 percent of Fellows who had completed either a doctorate or a post-master's degree, and 79 percent of those who had completed a master's degree, were employed in an authorized bilingual education-related activity.

- 93 percent of Fellows were in compliance with their contractual obligation to the Fellowship Program, including 2 percent in the process of repaying their fellowships; 4 percent were not in compliance (delinquent or unable to be located), and 3 percent were being asked for more information.

- No new Fellows were funded during FYs 1988 and 1989; 185 individuals began participation in the Fellowship Program in FY 1990 and 131 began in FY 1991.

The Department has set up an automated tracking system to monitor degree completion rates and post-fellowship employment among post-1987 Fellows. Results from a study based on the new set of data will be available during FY 1992.

An evaluation of the Education Personnel Training Programs found the following (III.3):

- During 1990-91, Title VII EPTP funds supported 104 separate projects offering programs of study at the baccalaureate level or higher, located at 81 institutions of higher education and 27 States.

- The most prevalent type of EPTP project offered a master's degree, either alone or in combination with other degree/endorsement projects.

- Short-term endorsement programs typically requiring only 12 to 18 semester credit hours for completion are seen by some as a cost-effective use of limited resources, more quickly producing a greater number of qualified teachers of LEP students than otherwise possible. Others perceive this type of program as not affording sufficient time or coursework for the preparation of well-qualified bilingual education or ESL teachers. In addition, by concentrating on providing supplemental training to already certified teachers, they fail to address the need for newly qualified teachers.

- Nearly two-thirds of all projects reported providing programs in both bilingual education and ESL. Bilingual education training generally require courses in bilingual methods and demonstration of proficiency in a non-English language. ESL training usually includes courses on ESL methodology and does not require proficiency in a non-English language.

- Upon completion of their training, 83 percent of these students planned to take a position in bilingual/ESL education, and 12 percent planned to take a position in education, but not in bilingual/ESL education. Of those planning to take a position in bilingual/ESL education, almost half reported the job would be their first in the area, indicating that Title VII is helping to increase the number of educators who serve LEP children.

- Projects spend an average of 62 percent of Title VII grant funds on student aid, including stipends, books, travel expenses, and tuition and fees. An additional average of 25 percent was spent on administrator, staff, and faculty salaries and benefits. The remainder average of 13 percent was distributed across program evaluation, materials and supplies, equipment, travel, and overhead.

Management Improvement Strategies

The Multifunctional Resource Centers (MRCs) are incorporating the National Education Goals into their teacher training and technical assistance functions. The implementation of these goals includes an emphasis on early childhood education and school readiness, increasing stress on math and science education for LEP students, and leadership training for principals and other school officials administering institutions which house Title VII projects.

III. SOURCES OF INFORMATION

1. Program files.

2. Title VII Bilingual Education Fellowship Program Study. (Silver Spring, MD: The MayaTech Corporation, 1991).

3. A National Study of the ESEA Title VII Bilingual Education Personnel Training Program. (Research Triangle Park, NC: Research Triangle Institute, 1992)

IV. PLANNED STUDIES

The Department plans several studies of training and technical assistance methods and practices.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	John Ovard, (202) 732-5725 Division of National Programs, OBEMLA
Program Studies :	Carmen Simich-Dudgeon, (202) 732-5706 Research and Evaluation, OBEMLA
	David Moguel, (202) 401-1958, Office of Policy and Planning

EMERGENCY IMMIGRANT EDUCATION PROGRAM
(CFDA No. 84.162)

I. PROGRAM PROFILE

Legislation: The Emergency Immigrant Education Act, Title IV, Part D of the Elementary and Secondary Education Act, as amended, (20 U.S.C. 3121-3130) (expires September 30, 1993).

Purpose: To assist State education agencies (SEAs) and local education agencies (LEAs) in providing supplementary educational services and offsetting costs for immigrant children enrolled in elementary and secondary public and nonpublic schools. The eligible recipients are the States, which then distribute the funds to LEAs within the State according to the number of immigrant children.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1984	$30,000,000	1988	$29,969,000[1]
1985	30,000,000	1989	29,640,000
1986	28,710,000	1990	30,144,000
1987	30,000,000	1991	29,276,619

1. Includes a $1,247,000 reappropriation to the State of Texas.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Though this program does not address any goal directly, its purpose would generally support the improvement of the graduation rate and strengthening of the academic performance (Goals 2 and 3) of immigrant students.

Population Targeting

Children eligible for the Emergency Immigrant Education program are defined by the statute as "children who were not born in any State and who have been attending schools in one or more States for less than three complete academic years." An SEA may apply (1) if there are 500 eligible children in any LEA in the State; or (2) if eligible children constitute 3 percent of enrollment in one or more LEAs in the State. The count of eligible children may be taken at any time in the school year; proper documentation of legal immigrant status is not required to establish a child's eligibility for the program (III.1).

In FY 1991, the program served 687,334 immigrant students in 34 States, the District of Columbia, and Puerto Rico (III.1).

In 1986, the Bureau of the Census estimated that 18 percent of the undocumented population counted in the 1980 Census was under 15 years of age; about 21 percent of the undocumented Mexicans were under 15 years of age (III.2). Relevant data from the 1990 Census will not be available until late FY 1992.

Services

The Emergency Immigrant Education program makes grants to SEAs and LEAs to provide supplementary educational services (including, but not limited to, English language instruction, other bilingual educational services, and special materials and supplies); to provide in-service training; and to offset the costs of "additional basic instructional services that are directly attributable to the presence of eligible children" (i.e., supplies, overhead costs, construction costs, acquisition or rental of space) (III.3).

In March of 1991, the General Accounting Office released a comprehensive, nationwide study of the Emergency Immigrant Education Act program (III.4). The study found the following:

- In 1989-90, about 80 percent of EIEA funds were used to support academic instructional programs. The remaining 20 percent were used for such purposes as student testing and counseling, parental involvement activities, and administrative services.

- Of the 80 percent used to support instructional programs, 76 percent was spent on salaries and benefits for teachers and/or aides. The remaining funds were used to purchase classroom supplies and materials and in-service training.

- In 1989-90, while 700,000 immigrant students met EIEA program eligibility criteria, about 85 percent were in the 529 districts receiving EIEA funds. The remaining students were dispersed among an estimated 4,000 districts that had too few eligible immigrant students to qualify for funding or did not apply for funding.

- With the exception of the Chapter 1 program, less than one-third of the EIEA students participated in other applicable federally funded education programs, including the Transition Program for Refugee Children, Bilingual Education Act (Title VII) programs, Chapter 1 - Migrant Education Program, and the State Legalization Impact Assistance Grants Program. As many as 370,000 (of a total 564,000) EIEA students may have participated in Chapter 1.

Management Improvement Strategies

In 1989, the Department of Education proposed statutory language to add a "supplement, not supplant" provision to the Emergency Immigrant Education program in order to ensure that these funds are used for services needed by immigrant children rather than for basic operating expenses of school districts.

III. SOURCES OF INFORMATION

1. Program files.

2. J.S. Passel, "Immigration to the United States," (text of speech) (Washington, DC: Bureau of the Census, August 1986).

3. Distribution of State-Administered Federal Education Funds: Fourteenth Annual Report, draft (Washington, DC: U.S. Department of Education, 1990).

4. Information on the Emergency Immigrant Education Act Program, A Report to Congress (Washington, DC: U.S. General Accounting Office, 1991).

IV. PLANNED STUDIES

An evaluation of the Emergency Immigrant Education Program will be completed in FY 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Harpreet Sandhu, (202) 732-5708

Program Studies : David Moguel, (202) 401-1958

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES

AID TO STATES FOR EDUCATION OF HANDICAPPED CHILDREN IN STATE-OPERATED AND STATE-SUPPORTED SCHOOLS
(CHAPTER 1, ESEA)
(CFDA No. 84.009)

I. PROGRAM PROFILE

Legislation: The Elementary and Secondary Education Act of 1965, Title I, Part D, Subpart 2, as amended (20 U.S.C. 2791-2796) (expires September 30, 1993).

Purpose: To provide Federal assistance to supplement the special education needs of children through age 21 with disabilities, or early intervention needs of infants and toddlers with disabilities in State-operated or State-supported schools and programs, and for children who have been transferred to local education agencies (LEAs) but who continue to be counted under this program.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$15,917,000	1985	$150,170,000
1970	37,482,000	1986	143,713,000
1975	87,864,000	1987	150,170,000
1980	45,000,000	1988	151,269,000
1981	156,625,000	1989	148,200,000
1982	146,520,000	1990	146,389,000
1983	146,520,000	1991	148,859,000
1984	146,520,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports school readiness for children ages birth through 5 with disabilities (Goal 1).

Population Targeting

This program provides funds to States and territories based on a child count formula. In the 1989-90 school year, 266,384 children ages birth through 21 were served in State-operated and State-supported schools.

Table 1
Children with Disabilities ages Birth through 21
Served Under Chapter 1 State-Operated Program
(School Year 1989-90)--By Age

Age Range	Number	Percent
0-2	37,319	14.0
3-5	36,098	13.5
6-11	78,208	29.4
12-17	83,958	31.5
18-21	30,801	11.6
Total	266,384	100.0%

Source: III.1.

Table 2
Children with Disabilities Ages 6 through 21
Served Under Chapter 1 State-Operated Program
(School Year 1989-90)--By Disabling Condition

	Number	Percent
Mentally retarded	58,819	30.5
Emotionally disturbed	42,511	22.0
Learning disabled	26,172	13.6
Hard of hearing and deaf	17,161	8.9
Multihandicapped	20,456	10.6
Speech impaired	11,357	5.9
Orthopedically impaired	6,135	3.2
Visually impaired	5,603	2.9
Other health impaired	3,932	2.0
Deaf-blind	821	0.4
Total	192,967	100.0%

Source: III.1.

According to a recent study (III.2), approximately 324,000 students with disabilities were served in separate day and residential facilities (both public and private) in the 1987-1988 school year[1]. Of these, 229,000 were served in separate day facilities, and 95,000 in separate residential facilities. Most students attending separate day or residential facilities were ages 6 through 17. While day schools were more likely than residential schools to serve children under age six (25 percent and 8 percent, respectively), residential schools were slightly more likely than day schools to serve youth ages 18 through 21 (23 percent and 16 percent, respectively).

The largest proportion of students served in separate day schools were those with mental retardation (39 percent), while the largest proportion of students served in separate residential facilities were those with emotional disturbance (52 percent). The study further showed that the population of disabled students served in separate facilities varied considerably from the total population of special education students. Thus, students with mental retardation and and students with emotional disturbance made up 15 percent and 9 percent, respectively, of the total special education population.

For a few disabling conditions, placement of students served in day and residential facilities varied by severity level. For example, students in residential facilities were more likely to have profound retardation (50 percent) than students in day schools (20 percent). However, both types of facilities served similar proportions of mildly retarded students (12 to 13 percent). Similarly, partially sighted students were more likely to attend separate day schools (28 percent) than separate residential facilities (11 percent). However, functionally blind students were likely to attend either separate day schools (36 percent) or separate residential facilities (39 percent).

Services

The study showed that most students in separate facilities received group instruction in small classes (6 - 11 students). Regardless of disabling condition or facility type, most students also attended on-campus education programs, although some students participated in educational programs offered by another agency

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[1] This includes children counted under the Chapter 1 Handicapped Program and the Grants to States Program under the Individuals with Disabilities Act.

during the regular school day. Over 25 percent of students ages 18 to 21 participated in education and training programs away from their facilities.

While students in separate day and residential facilties participated in non-instructional activities (e.g., physical exercise and social activities), the study found that few students had opportunities to participate in these activities with non-disabled peers. In particular, administrators of public day facilities serving students with physical impairments (54 percent) and those serving students with severe-to-profound mental retardation (46 percent) considered this to be a serious problem.

Outcomes

A comparison of findings from the study of separate day and residential facilties (III.2.) with data from an Office of Civil Rights Survey conducted in 1979 showed that the number of students in separate residential facilities decreased by 24 percent, while the number served in separate day facilities increased only 4 percent.

The number of students attending public day schools increased 34 percent, but decreased by almost 7 percent in private day schools. In contrast, enrollments decreased by 40 percent in public residential facilities, but increased by 18 percent in private residential facilities. These differences are attributed to the increased capacity of local communities and school districts to provide programs for students with disabilities.

Separate day schools, which had primarily served mildly or moderately retarded students in 1979, were more likely to serve students with severe-to-profound mental retardation in 1988. Both day and residential facilities were also more likely to serve higher proportions of students with emotional disturance in 1988 than in 1979. These data support the conclusion that the overall severity of impairment among students served in separate facilities has increased since 1979.

Finally, the study found that educational programs offered by these facilities placed increased emphasis on transition planning, pre-vocational and job-readiness training, and life skills and vocational education programs. These changes are attributed to the movement to deinstitutionalize adult placements as well as to the increase in students with more severe impairments.

Management Improvement Strategies

In the FY 1992 budget request, the Department of Education proposed to discontinue the Chapter 1 Handicapped program by phasing it out through a multi-year transition to serving all children under the Individuals with Disabilities Education Act. The budget request included a gradual decrease in Chapter 1 funds and a corresponding increase in the Grants to States program of the Individuals with Disabilities Education Act. The rationale for this proposal addresses the need for a separate categorical program under ESEA to serve less than 6 percent of all children with disabilities.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Act (Washington, DC: U.S. Department of Education, 1991).

2. Study of Programs of Instruction for Handicapped Children and Youth in Day and Residential facilities (Washington, DC: U.S. Department of Education and Mathematica Policy Research, 1990).

3. Special Education: Congressional Action Needed to Improve Chapter 1 Handicapped Program (HRD-89-91) (Washington, DC: U.S. General Accounting Office, May 1989).

4. Survey of Special Purpose Facilities (Washington, DC: U.S. Department of Education, 1979).

5. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Thomas B. Irving, (202) 205-8825

Program Studies : Kimmon Richards, (202) 401-3630

GRANTS TO STATES PROGRAM FOR DISABLED CHILDREN AND YOUTH (CFDA No. 84.027)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part B, (20 U.S.C. 1411-1420) (no expiration date).

Purpose: The Grants to States program provides formula grants to help States, the District of Columbia, the Secretary of the Interior, and Outlying Areas to meet the costs of providing special education and related services needs of children with disabilities. The express intent of Part B of IDEA is to assure that all children with disabilities have available to them a free, appropriate public education, which includes special education and related services to meet each child's unique needs.

Funding History (Funds are forward-funded)

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$2,500,000 1/	1985	$1,135,145,000
1970	29,190,000	1986	1,163,282,000
1975	100,000,000	1987	1,338,000,000
1980	874,500,000	1988	1,431,737,000
1981	874,500,000	1989	1,475,449,000
1982	931,008,000	1990	1,542,610,000
1983	1,017,900,000	1991	1,854,186,000
1984	1,068,875,000		

1/ State grants for planning activities for the education of children with disabilities were authorized under P.L. 89-750, Part F, which amended the Elementary and Secondary Education Act (ESEA) of 1965 (P.L. 89-10) by creating Title VI, Education of Handicapped Children. P.L. 94-142, which became Part B of the Education of the Handicapped Act (now the Individuals with Disabilities Education Act) was passed in 1975.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Grants to States program provides formula grants to States, the District of Columbia, Puerto Rico and the Outlying Areas to provide special education and related services for all eligible children with disabilities, including programs for preschool children ages three through five that help prepare children for school (Goal 1). The program also provides funds for programs aimed at keeping students with disabilities in school until their education is completed (Goal 2) and elevating student achievement (Goal 3), including mathematics and science achievement (Goal 4).

Performance Indicators

Targeting

- In the 1989-1990 school year, 4,421,236 children were served under Part B of IDEA, 2.7 percent more than in the previous year.
- The average annual growth for children ages 3 through 5 since 1986-1987 has been 8.2 percent, compared to 1 percent for ages 6 through 17 and 1.8 percent for ages 18 through 21.
- The largest number of children with disabilities were classified as having learning disabilities (48.5 percent), followed by speech impairments (22.9 percent), mental retardation (13.3 percent), and serious emotional disturbance (9.0 percent). These four categories account for 93.7 percent of the total number of children ages 6 through 12 served under IDEA and Chapter 1 of ESEA State-Operated Programs (SOP).

Services

- In the 1988-1989 school year, the overwhelming majority (93.1 percent) of students with disabilities ages 3 through 21 received their educational and related services in regular school buildings with students who were not disabled.
- In 1988-1989, the total full-time equivalents of special education teachers employed under IDEA and Chapter 1 of ESEA (SOP) to serve all special

education students was 300,502, an increase of 1.2 percent over the figure for 1987-1988 (297,034).

- For 1988-1989, States and Outlying Areas reported that 27,972 additional teachers were needed to fill vacant positions and replace uncertified staff for children ages 6 through 21.

Outcomes

- During the 1988-1989 school year, the majority of students with disabilities exiting school graduated with a diploma (44 percent) or a certificate (10 percent). Twenty-seven percent of students exiting school dropped out and the status for 17 percent of exiters was unknown. Approximately 2 percent of exiters reached the maximum age allowed by States for special education services.

- The National Longitudinal Transition Study reported numerous outcomes for students ages 14 through 21. Highlights include:

  - Many youth with disabilities do not have basic functional mental skills. Parents of only 57 percent of youth rated "high" their children's ability to perform basic tasks such as reading signs and counting change.

  - The average IQ score of survey respondents was 79, with a range from 93 for youth with deafness to 50 for those with deaf/blindness.

  - The percentage of black youth with disabilities was about twice as high as the percentage in the general population.

  - Special schools generally served students who were more severely disabled and economically disadvantaged than regular school students in the selected disability categories. Compared with regular schools, special schools emphasized vocational and life skills training over academics.

  - Students averaged 15 days absent per year, and one-third failed at least one course in their most recent school year. Fewer than half of students who took minimum competency tests passed all of the test, and almost 1 in 10 students who remained in school were at their grade level at the end of the school year.

- High absenteeism was strongly related to a higher probability of course failure. Together, course failure and higher absenteeism were powerful predictors of grade retention. Student characteristics such as age, gender, and ethnicity, also related significantly to various measures of student performance, as did behavioral factors.

- More than half of youth with disabilities who left secondary school in a two-year period did so by graduating (56 percent), and three-fourths of those graduates were reported by their schools to have been awarded regular diplomas. Almost one-third of school leavers with disabilities dropped out of school (32 percent), a significantly higher dropout rate than for the general population of youth.

- Enrollment in occupationally oriented vocational education and receipt of tutoring assistance and personal counseling each were significantly related to a lower probability of dropping out of school.

Administration

- Funds appropriated under Part B have increased steadily from $251,700,000 in FY 1977 to $1,854,186,000 in FY 1991.

Population Targeting

The Grants to States program provides funding for children ages 3 through 21 who need special education and related services because of disabilities. In the 1989-1990 school year, 4,421,236 children were served under Part B of the IDEA (formerly EHA-B), 2.7 percent more than in the previous year. Since the inception of Part B in 1976, the number and percentage (as a function of resident population) of students with disabilities has steadily increased.

In the early years following enactment of Part B, rapid growth in the number of children with disabilities was primarily due to new Federal categories of children with disabilities (e.g., children with specific learning disabilities), and to program development and implementation. Certain factors, however, may decrease the future growth in the number of children served. A number of States have implemented pilot programs and other restructuring efforts to educate students with disabilities in the regular education environment, including pre-referral interventions. Other factors, however, could increase the number of children served.

Ages of Students Served

The number of children ages 3 through 5 served under IDEA, Part B, has continued to grow dramatically since the 1986 Amendments to this program, which changed the Preschool Grants program from an incentive grant program to a program that, beginning in FY 1991, required provision of services to all eligible preschool children with disabilities, ages 3 through 5. Under IDEA, Part B, the average annual growth rate for ages 3 through 5 since 1986-1987 has been 8.2 percent, compared to 1 percent for ages 6 through 17 and 1.8 percent for ages 18 through 21 (see Table 1).

The numbers of students served by individual age years by disability varies greatly. Table 2 shows the number of students served at each age year in school year 1989-90 for the four most prevalent disabilities: learning disabilities, speech or language impairments, mental retardation, and serious emotional disturbance. The number of students with learning disabilities being served increases rapidly from ages 6 through 11 and then decreases gradually until age 16. This pattern suggests that (1) substantial numbers of children with learning disabilities are identified in the elementary school grades, and that few children are newly identified in junior high or high school; (2) the learning problems of some students may be remediated prior to and during adolescence; and (3) some secondary school students with learning disabilities who fully participate in the regular education curriculum may no longer need special education.

The number of students identified as having speech or language impairments, in contrast to the data on students with learning disabilities, is quite high in the early elementary school years (ages 6 through 8) and decreases dramatically from ages 9 through 21. This dramatic decrease might be explained, in part, by the remediation of mild to moderate speech or language impairments of young students. In addition, it may be that some children at ages 6 through 8, identified as having speech or language impairments, are later evaluated as having learning disabilities at age 9 and above.

The numbers of students with mental retardation rise sharply between the ages of 6 and 9, are fairly constant between ages 9 and 17, and fall off sharply between the ages of 18 and 21. This pattern suggests that those who will be identified as having mental retardation tend to be identified by the mid-elementary school years.

The data on students with emotional disturbance indicate that prevalence is highest during the teen years. The number of students with emotional disturbance grows

TABLE 1

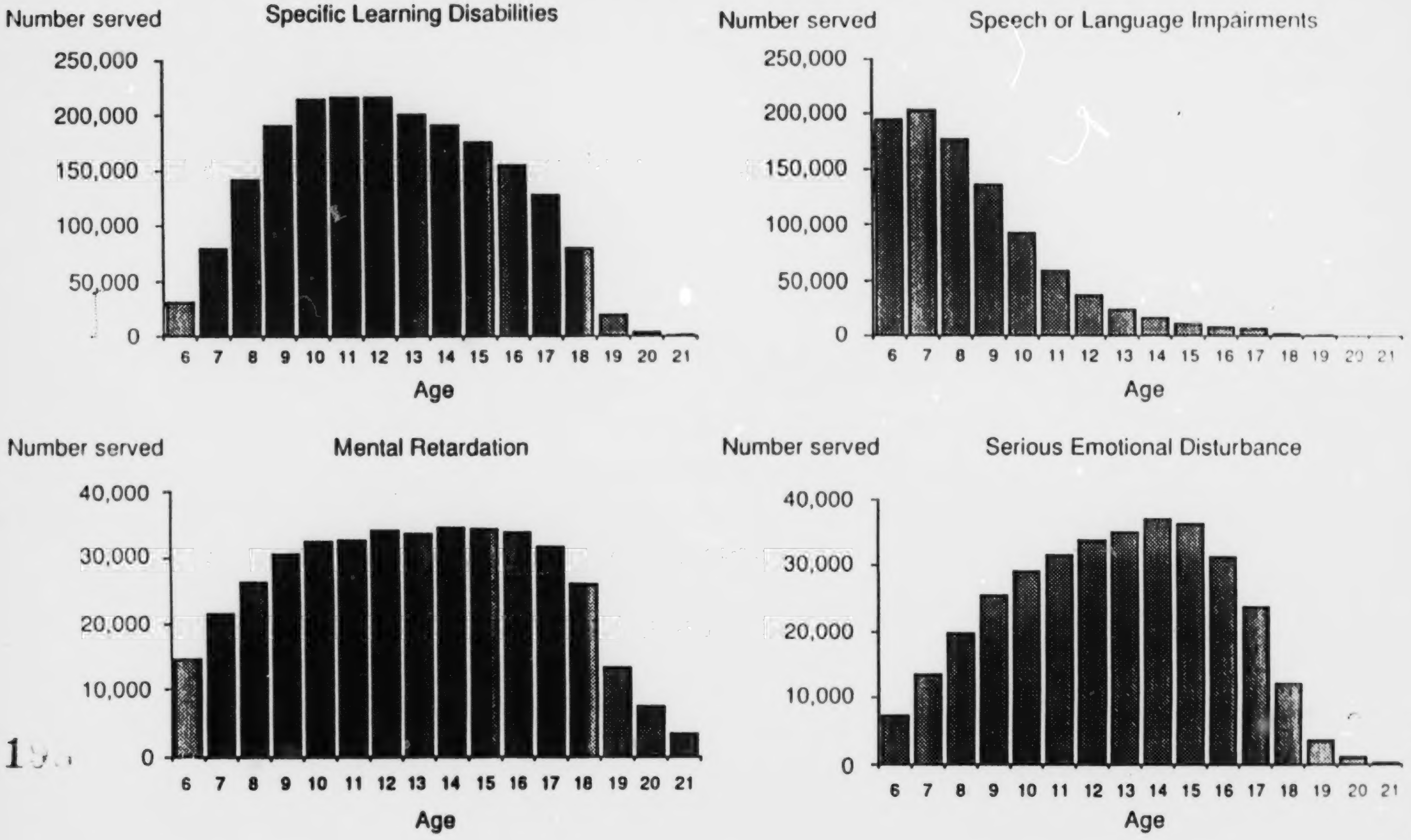
Age Group Data Trends for Students Served Under IDEA, Part B

Age Group	1978-79 Number Served	1986-87 Number Served	1989-90 Number Served	1978-79 to 1989-90 Percent Change	Average Annual Growth Rate Since 1978-79	Average Annual Growth Rate Since 1986-87
3 - 5	214,885	265,814	352,527*	64.1%	5.3%	8.2%
6 - 17	3,376,535	3,708,597	3,862,866	14.4	1.2	1.0
18 - 21	102,173	192,281	205,843	101.5	8.5	1.8

* Thirteen children from Palau are not included in this number.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

Number of Students Served Under IDEA, Part B in High Incidence Disabilities at Individual Age Years 1989-90



Specific Learning Disabilities

Speech or Language Impairments

Mental Retardation

Serious Emotional Disturbance

Source: U.S. Department of Education, Office of Special Education Progn
Data Analysis System (DANS).

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steadily from age 6 to age 14, and then begins to drop dramatically from age 15 to age 21. This significant decrease is due, in part, to the high dropout rate of students with this disability.

Disabilities of Students Served

Table 3 shows the disabilities of students ages 6 through 21 served under Part B of the IDEA and Chapter 1 of ESEA (SOP) in 1989-1990. For students served under both statutes, the largest numbers of children with disabilities were classified as having learning disabilities (48.5 percent) followed by speech impairments (22.9 percent), mental retardation (13.3 percent), and emotional disturbance (9.0 percent). These four categories account for 93.7 percent of the total number of children ages 6 through 21 served under the two programs. Service patterns have changed significantly over the years (see Table 4). The overall picture is that the population of students with learning disabilities served has grown, while the number of students served with speech or language impairments and mental retardation has declined.

The Office of Policy and Planning's Brief "Definitions, Eligibility Criteria, and Services for Learning Disabled and Educationally Disadvantaged Students" (III.2.) states that because of the variability among State and local definitions for learning disabled students, the eligibility criteria, and assessment and placement practices, there is some overlap between the learning disabled and educationally disadvantaged populations. That is, some students currently identified as educationally disadvantaged in one locality or State, might be eligible for services for mild learning disabilities in another location, and conversely. Estimates of the actual size of the population of students with learning disabilities are, therefore, difficult to make with any certainty.

Services

Least Restrictive Environment

In the 1988-1989 school year, the overwhelming majority (93.1 percent) of students ages 3 through 21 with disabilities received their educational and related services in regular school buildings with students without disabilities.

Specifically, 31.3 percent were served in regular classes, 37.3 percent were served in resource rooms, and 24.4 percent were served in separate classes. The remaining students were placed in public/private separate school facilities (5.2 percent),

TABLE 3

Students Age 6-21 Served Under IDEA, Part B and Chapter 1 of ESEA (SOP), by Type of Disability: School Year 1989-90

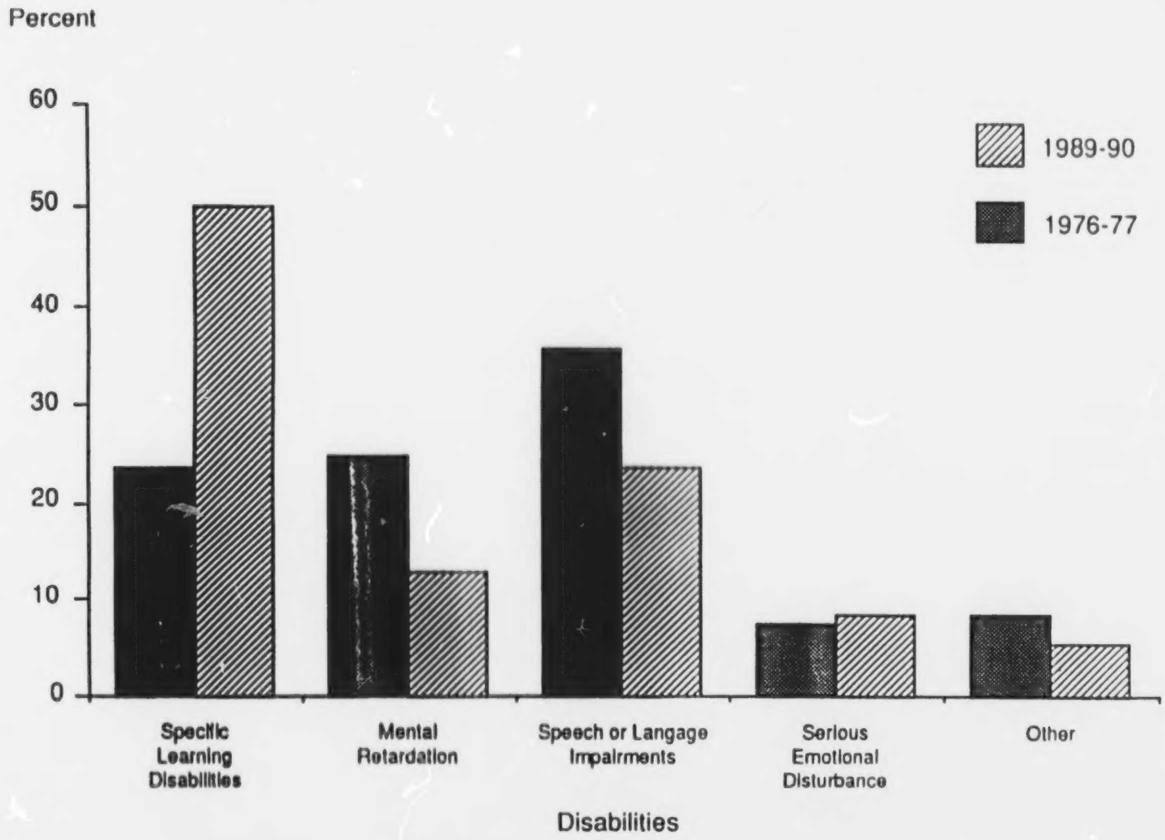
Type of Disability	IDEA, Part B		ESEA (SOP)		Total	
	Number	Percent[a]	Number	Percent[a]	Number	Percent[a]
Specific learning disabilities	2,038,720	50.1	26,172	13.6	2,064,892	48.5
Speech or language impairments	964,829	23.7	11,357	5.9	976,186	22.9
Mental retardation	507,331	12.5	58,819	30.5	566,150	13.3
Serious emotional disturbance	340,059	8.4	42,511	22.0	382,570	9.0
Multiple disabilities	67,500	1.7	20,426	10.6	87,956	2.1
Hearing impairments	41,003	1.0	17,161	8.9	58,164	1.4
Orthopedic impairments	41,864	1.0	6,135	3.2	47,999	1.1
Other health impairments	49,233	1.2	3,932	2.0	53,165	1.2
Visual impairments	17,357	0.4	5,603	2.9	22,960	0.5
Deaf-blindness	813	0.0	821	0.4	1,634	0.0
All conditions	4,068,709	100.0	192,967	100.0	4,261,676	100.0

[a] Percentages are within column.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

TABLE 4

Changes in the Distribution of Specific Disabilities for Children Age 6-21 Served Under IDEA, Part B: 1976-77 and 1989-90



Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

public/private residential facilities (0.8 percent), and homebound/hospital settings (0.9 percent) (see Table 5).

When data are compared for the 1987-1988 and 1988-1989 school years, the proportion of regular class placements for students ages 3 through 12 with disabilities rose from 29.7 percent to 31.3 percent. During the same time period, the proportion of resource room placements actually decreased from 38.2 percent to 37.3 percent. Separate class and separate school placements decreased .6 percentage points and .4 percentage points, respectively. Residential facility placements remained the same, and home/hospital placements increased .1 percentage points (see Table 6).

Placement patterns vary significantly by age. In general, preschool (ages 3 through 5) and elementary school (ages 6 through 11) students are more likely to be placed in less restrictive environments than students in older age groups (12 through 17 and 18 through 21) (see Table 7).

Educational placements also vary by disability. This is due to the differing needs of students and the appropriate educational services available (see Table 8).

Types of Services

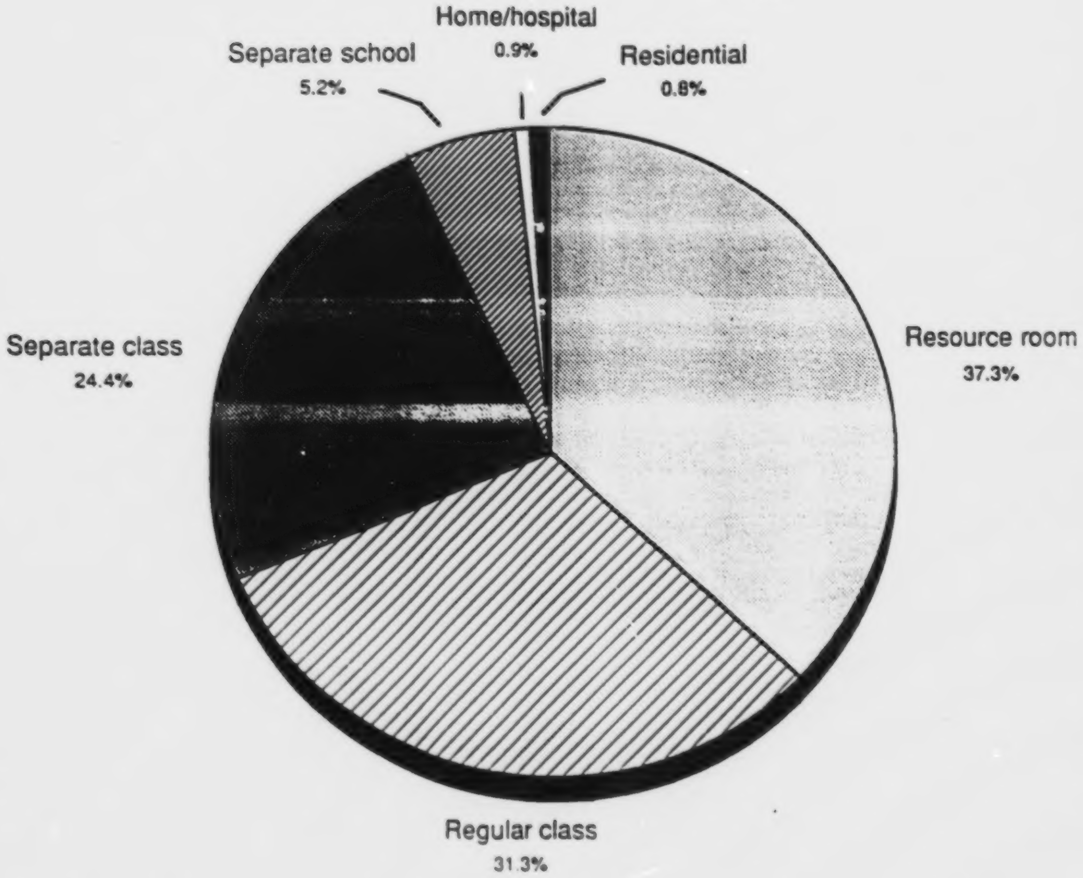
Depending on individual need, children with disabilities receive a variety of special education and related services that are designed to enable them to benefit from their education. Related services include speech pathology and audiology, psychological services, physical and occupational therapy, recreation, early identification and assessment of disabilities, counseling services, medical services for diagnostic or evaluation purposes, school health services, social work in schools, and parent counseling and training.

Special Education and Related Service Personnel

In school year 1988-1989, the total full-time equivalents of special education teachers employed under IDEA and Chapter 1 of ESEA (SOP) to serve all special education students was 300,503, an increase of 1.2 percent over the figure for 1987-1988 (297,034). During the same time period, the total number of children served increased by 100,250, or 2.2 percent. By contrast, between 1986-1987 and 1987-1988, the total number of teachers employed grew by 838, a 0.3 percent increase.

TABLE 5

Percentage of All Students with Disabilities Age 3-21 Served in Six Educational Placements



NOTE: Includes data from 50 States, the District of Columbia, and Puerto Rico. Separate school includes both public and private separate school facilities. Residential includes both public and private residential facilities.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS)

TABLE 6

Number of Students Age 3-21 Served in Six Educational Environments and Percentage Change in Number Served: School Years 1987-88 to 1988-89

Environment	1987-88		1988-89		Change in Number Served
	Number	Percent	Number	Percent	
Regular class	1,299,162	29.7	1,406,246	31.3	107,084
Resource room	1,671,177	38.2	1,675,189	37.3	4,012
Separate class	1,093,785	25.0	1,095,493	24.4	1,708
Separate school	245,158	5.6	232,710	5.2	-12,448
Residential facility	34,378	0.8	37,114	0.8	2,736
Home/hospital	35,341	0.8	39,657	0.9	4,316
Total	4,379,001	100.0	4,486,409	100.0	107,408

Note: Includes data from 50 States, the District of Columbia, and Outlying Areas.

Sources: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

TABLE 7

Percentage of Students Age 3-5, 6-11, 12-17, and 18-21 Served in Six Educational Environments: School Year 1988-89

Environment	Age Groups			
	3-5	6-11	12-17	18-21
Regular class	42.2%	41.0%	19.3%	14.2%
Resource room	16.1	34.8	45.0	35.0
Separate class	26.3	20.5	28.1	31.5
Separate school	12.9	3.1	5.1	14.6
Residential facility	0.4	0.4	1.2	3.3
Homebound/hospital	2.0	0.3	1.3	1.4

Note: Includes data from 50 States, the District of Columbia, and Outlying Areas.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

TABLE 8

TABLE 1.10

Percentage of Students Age 6-21 Served in Different Educational Environments by Disability Category: School Year 1988-89

Disability Category	Educational Environments					
	Regular Class	Resource Room	Separate Class	Separate School	Residential Facility	Homebound/ Hospital
Specific learning disabilities	19.6%	57.9%	20.9%	1.3%	0.1%	0.1%
Speech or language impairments	75.9	19.2	3.3	1.4	0.1	0.1
Mental retardation	5.9	22.4	58.9	11.3	1.2	0.4
Serious emotional disturbance	14.1	30.0	35.8	13.4	3.8	2.9
Hearing impairments	26.9	21.0	33.5	8.5	9.8	0.2
Multiple disabilities	7.0	14.1	46.2	25.9	4.0	2.8
Orthopedic impairments	29.3	18.6	33.5	11.1	0.7	6.9
Other health impairments	29.9	20.3	19.6	7.8	0.8	21.6
Visual impairments	52.0	17.9	21.5	3.4	4.9	0.3
Deaf-blindness	11.6	5.3	29.9	25.9	26.1	1.2
All disabilities	30.5	39.0	24.3	4.6	0.9	0.8

Notes: Include data from 50 States, the District of Columbia, and Outlying Areas.

Educational placements for children age 3-5 are not reported by disability.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

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In 1988-1989, 255,904 non-teaching staff were employed, an increase of 6.2 percent over the 1987-88 figure of 240,978. From 1986-1987 to 1987-1988, non-teaching staff grew by 8 percent. Paraprofessionals, or teacher's aides, composed more than half the percentage of total staff employed (56.6 percent or 144,907).

For 1988-1989, States and Outlying Areas reported that 27,977 additional teachers were needed to fill vacant positions and replace uncertified staff for children ages 6 through 21. States reported that the greatest unmet demand was for teachers serving children in cross-categorical classes, with 7,714 teachers needed.

Outcomes

School Exiting Patterns

To understand the size and nature of the exiting population of secondary school special education students, the Office of Special Education Programs (OSEP) began collecting data on these students from the States five years ago. These data are an important source of information on the number of youth ages 14 and older who are no longer receiving special or regular education services. States report these data according to the exiting student's disabling condition, age, and type of exit: graduation with a diploma; graduation through certification; reached the maximum age for which services are provided in the State; dropped out; or other reason (death, or no longer receiving special education services but reason for exit unknown). The categories for basis of exit are mutually exclusive. Some caution should be exercised in interpreting exiting data since some differences may be attributable to State-to-State or year-to-year variations in graduation practices and reporting. For example, some States award only certificates. Others award only diplomas. The majority of States award some of each.

During the 1988-1989 school year, the majority of students with disabilities exiting school graduated with a diploma (44 percent) or a certificate (10 percent). Twenty-seven percent of students exiting school dropped out and the status for 17 percent of exiters was unknown. Approximately 2 percent of exiters reached the maximum age allowed by States for special education services.

Current Efforts to Measure Outcomes

While the State-reported data provide basic indicators of service provision, they do not assess, with the exception of the exiting data, the outcomes of the provision of special education to children with disabilities. The Center for Outcome Assessment for Children and Youth with Disabilities is an OSEP-sponsored project that will develop a set of indicators (both in-school and post-school outcomes) to measure the success of educational programs for students with disabilities. These indicators may include academic achievement, self-esteem, psychosocial development, employment, and independent living. While many States have made concerted efforts to obtain such outcome data, these efforts are not based on similar conceptual frameworks that define a comprehensive system of outcome indicators. The Center for Outcome Assessment will develop a comprehensive indicator system to enhance the comparability, interpretability, and use of outcome data.

Program Administration

Distribution of Funds

The IDEA, Part B State Grant Program distributes funds each year to the States according to the total number of eligible students with disabilities that each State reports is receiving special education and related services. State education agencies (SEAs) conduct an annual child count on December 1 of the previous fiscal year, aggregate these data, and submit them to the OSEP. Funds appropriated under Part B have increased steadily from $251,700,000 in FY 1977 to $1,854,186,000 in FY 1991. In the same period, the average per-child amount of Federal funding has increased from $72 to $350. The average per-pupil expenditure for excess costs of special education and related services rose from $2,788 in 1982-1983 to $3,917 in 1986-1987, an increase of 40 percent.

At least 75 percent of the funds the State receives under Part B must be distributed to local education agencies (LEAs) and intermediate education units (IEUs) to assist in the education of students with disabilities (20 U.S.C. 1411(c)(1)(B)). The LEAs and IEUs are required to assure that these funds do not supplant State and local expenditures but do supplement and increase the level of funds expended for special education and related services. SEAs are allowed to set aside up to 25 percent of the grant award for use by the State. States may use up to 5 percent of this set-aside, or $350,000, whichever is greater, for administrative costs. States may use the remaining 20 percent of the Part B award for direct and support services for children with disabilities and for the administrative costs of monetary and compliance investigations, to the extent that such expenditures exceed the costs of administration incurred during FY 1985.

TABLE 9

IDEA, Part B State Grant Program Funding, Fiscal Years 1977-90

Fiscal Year	IDEA, Part B State Grants	Per-Child Federal Share
1977	$ 251,769,927	$ 72
1978	566,030,000	159
1979	804,000,000	217
1980	874,500,000	230
1981	874,500,000	222
1982	931,008,000	233
1983	1,017,900,000	251
1984	1,068,875,000	261
1985	1,135,145,000	275
1986	1,163,282,000	282
1987	1,338,000,000	321
1988	1,431,737,000	338
1989	1,475,449,000	340
1990	1,542,610,000	350

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991).

2. "Issue Brief: Definitions, Eligibility Criteria and Services for Learning Disabled and Educationally Disadvantaged Students" (Washington, DC: Office of Policy and Planning, U.S. Department of Education, 1991).

3. Program files.

4. Findings from the Department of Education's National Longitudinal Transition Study: SRI International, Menlo Park, California.

IV. PLANNED STUDIES

During FY 1992, SRI International will be analyzing data from the second wave of data collection of the National Longitudinal Transition Study (NLTS). The data will provide further information on the in-school and out-of-school outcomes of special education students as they make the transition from high school to independent living, further education, and work.

The Center for Outcome Assessment at the University of Minnesota will continue to identify appropriate outcome indicators for children and youth with disabilities, and work toward developing an indicators system.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Thomas B. Irvin, (202) 205-8825
Program Studies	:	Susan Thompson-Hoffman, (202) 401-3630

PRESCHOOL GRANTS FOR CHILDREN WITH DISABILITIES
(CFDA No. 84.173)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part B, Section 619 (20 U.S.C. 1419) (No expiration date.)

Purpose: This formula grant program, beginning in FY 1991, requires the provision of services to all preschool children, ages 3 through 5, with disabilities.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$12,500,000	1986	$28,710,000
1980	25,000,000	1987	180,000,000
1981	25,000,000	1988	201,054,000
1982	24,000,000	1989	247,000,000
1983	25,000,000	1990	251,510,000
1984	26,330,000	1991	292,766,000
1985	29,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Preschool Grants program supports Goal 1 of the national goals, as its central objective is to identify and provide special education and related services to children with disabilities between the ages of 3 and 5 to help prepare them for elementary school.

Population Targeting

In the 1990-1991 school year, 367,428 children with disabilities ages 3 through 5 were counted as the basis for Preschool Grants program funds.

By FY 1991, States had to serve all children in this age range or lose eligibility for funding under this program, funding for the same age range under the IDEA Grants to States program and the Chapter 1 Handicapped program, and funding for certain discretionary grants under the IDEA pertaining solely to children ages 3 through 5.

Services

The services provided by States under the Preschool Grants program are special education and related services authorized under Part B of the IDEA needed by preschool children with disabilities.

Program Administration

The program awards formula grants to States, the District of Columbia, Puerto Rico, and five Outlying Areas on the basis of their proportionate share of the total number of children ages 3 through 5 who are counted for Grants to States allocations on December 1 of the fiscal year for which funds have been appropriated. For FY 1991, the statute limited the share of each child served to a maximum of $1,000. Each child can be counted twice, once for allocations under the Grants to States program and once for the Preschool Grants program.

The State education agency administers the Preschool Grants program. States are permitted to set aside up to 20 percent for State activities plus up to 5 percent for administration of the grant. The remaining funds are used for subgrants to local education agencies and intermediate education units, based on their proportionate share of the number of children served.

States are permitted to use up to 20 percent of their set-aside funds to develop a statewide comprehensive service delivery system for children ages birth through 5. These activities include personnel development, establishing interagency agreements, and designing approaches to meet unique service delivery needs. States also may use funds from the 20 percent set-aside for direct and support services to children with disabilities ages 3 through 5. Children must be 3 years old on December 1 in order to be counted under Part B.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Implementation of Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991).

2. Program files.

IV. PLANNED STUDIES

- Early Intervention Effectiveness Institute: the goal of this Institute is to determine the long-term effects and costs of early intervention with children with disabilities.

- Early Childhood Research Institute-Substance Abuse: this Institute, funded through a cooperative agreement, will be operated by a consortium of the Juniper Garden's Children Project (JGCP) of the University of Kansas (JGCP will serve as the primary site for the Institute), the Institute on Community Integration at the University of Minnesota, and the University of South Dakota's University Affiliated Program. Five research projects will be developed to address the Institute's objectives. The studies are conceptually integrated, and each informs and provides direction for the studies that follow. The five studies are: (1) Longitudinal Study of Children Prenatally Exposed to Drugs; (2) Longitudinal Study of Children Prenatally Exposed to Alcohol; (3) Development and Validation of New and Adapted Interventions to Meet the Unique Needs of Children Who Were Prenatally Exposed to Drugs and Alcohol; (4) Coordination and Continuity of Services and Care; and (5) Dissemination-Translating Interventions and Increasing the Integrity of Interventions Provided in Diverse Settings.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: James Hamilton, (202) 205-9084
Program Studies	: Susan Thompson-Hoffman, (202) 401-3630

HANDICAPPED REGIONAL RESOURCES AND FEDERAL CENTERS PROGRAM
(CFDA No. 84.028)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), as amended, Part C, Section 621, P.L. 101-476, (20 U.S.C. 1421) (expires September 30, 1994).

Purpose: To establish and operate regional resource centers (RRCs) to provide consultation, technical assistance, and training to State education agencies (SEAs) and through such agencies, to local education agencies (LEAs) and other appropriate public agencies providing special education, related services, and early intervention services; and to establish and operate a national coordinating technical assistance center focusing on national priorities.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 5,000,000	1985	6,000,000
1970	3,000,000	1986	6,029,000
1975	7,087,000	1987	6,700,000
1980	9,750,000	1988	6,415,000
1981	2,950,000	1989	6,338,000
1982	2,880,000	1990	6,510,000
1983	2,880,000	1991	6,620,000
1984	5,700,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Regional Resources and Federal Centers program promotes Goal 1 of the national goals by providing assistance to agencies responsible for implementing early intervention programs.

Population Targeting

This program is targeted to SEAs, to strengthen and enhance their ability to serve infants, children, and youth with disabilities.

Services

The Regional Resources and Federal Centers program assists State education agencies (and through SEAs, other agencies) to build their capacity to improve programs for children with disabilities. An operating assumption behind this program is that if State policies and programs are improved, better services to children with disabilities will result.

RRCs provide assistance in areas such as policies and practices regarding child-find systems, procedurally sound evaluation models, due process provisions, comprehensive systems of personnel development, professional networks, and dissemination systems.

The Centers produce and disseminate products within their region that should impact upon the State agencies they will serve. These products are designed to improve services to children with disabilities, address legislative mandates, help reduce duplication of services, fill gaps in services, enhance the sharing of information among cooperating service providers, and maintain continuity in services and pool resources during a time when such resources are becoming more limited. Each Center serves 7 to 14 States and Territories. The Centers are addressing new and emerging issues, such as (1) meeting the needs of a diverse groups of students with disabilities, including but not limited to, minority and medically fragile children, (2) the retention and recruitment of special education personnel, and (3) improving the outcomes for students with disabilities as they make the transition from school to the work place.

The Federal Regional Resource Center assists the RRCs in the delivery of technical assistance addressing national priorities in special education and related services. This Center also ensures the coordination of activities and services with other RRCs and other Department projects, and is responsible for providing assistance to the Office of Special Education Programs in the provision of technical assistance across regions.

Program Administration

There are six Regional Resources Centers, one for each region of the country. These centers are administered through cooperative agreements. The Centers are located in the following universities: University of Oregon, Eugene, OR; University of Kentucky Research Foundation, Lexington, KY; Utah State University, Logan, UT; Florida Atlantic University, Boca Raton, FL; Trinity College of Vermont, Burlington, VT; and Ohio State University Research Foundation, Columbus, OH. The Federal coordinating center is funded through a contract with the University of Kentucky Research Foundation in Lexington, KY.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991).

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Nancy Safer (202) 205-8109

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

SERVICES FOR CHILDREN WITH DEAF-BLINDNESS
(CFDA No. 84.025)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, Part C, Section 622 (20 U.S.C. 1422) (expires September 30, 1994).

Purpose: The purpose of the Services for Children with Deaf-Blindness program is to help State education agencies, local education agencies, and early intervention agencies assure special education, related services, and early intervention services to children with deaf-blindness, to facilitate the transition from educational to other services, and to support related research, demonstration, dissemination, and other projects.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$1,000,000	1985	$15,000,000
1970	4,000,000	1986	14,355,000
1975	12,000,000	1987	15,000,000
1980	16,000,000	1988	14,361,000
1981	16,000,000	1989	14,189,000
1982	15,360,000	1990	14,555,000
1983	15,360,000	1991	12,849,000
1984	15,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program addresses Goals 1 and 3, by helping assure that children with deaf-blindness are ready for school and are afforded opportunities to develop their educational and citizenship skills.

Population Targeting

Eligible recipients are public and nonprofit private agencies, institutions, and organizations, including Indian tribes, the Bureau of Indian Affairs of the

Department of Interior (if acting on behalf of schools operated by the Bureau for children and students on Indian reservations), and tribally controlled schools funded by the Department of Interior.

In FY 1991, grants for programs providing technical assistance relative to transitional services were extended to include agencies preparing adolescents for adult placements or preparing to receive young adults with deaf-blindness into adult living and working environments. Also, activities addressing the early intervention needs of infants and toddlers with deaf-blindness were authorized by the 1991 amendments to IDEA.

Services

This program supported 48 State and multi-State projects, 2 technical assistance projects, and 32 demonstration and other awards. There are three primary ways in which funds are used in the program:

- Cooperative agreements with single and multi-State projects to assist State education agencies, local education agencies, and designated lead agencies under the Early Intervention Program for Infants and Toddlers with Disabilities in providing early intervention, special education, and related services to infants, toddlers, children, and youth with deaf-blindness.

- Cooperative agreements providing technical assistance to State and multi-State projects and technical assistance to agencies and organizations regarding transitional services. These awards are directed primarily at capacity building.

- Research and demonstration grants supporting activities in a wide variety of areas including validation and utilization of exemplary practices and the development of innovative interventions.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Charles W. Freeman, (202) 205-8165

Program Studies : Lenore Garcia, (202) 401-3630

EARLY CHILDHOOD EDUCATION FOR CHILDREN WITH DISABILITIES

(CFDA No. 84.024)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 104-476, as amended, as amended, Part C, Section 623 (20 U.S.C. 1423) (expires September 30, 1994).

Purpose: To improve special education and early intervention services for infants and children with disabilities, from birth through age 8. This program supports research, demonstration, training, technical assistance, and dissemination activities. Awards are made to public and private agencies and organizations.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 945,000	1985	$22,500,000
1970	4,000,000	1986	22,968,000
1975	14,000,000	1987	14,470,000
1980	20,000,000	1988	23,428,000
1981	17,500,000	1989	23,147,000
1982	16,800,000	1990	24,201,000
1984	21,100,000	1991	24,201,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports a variety of discretionary grants to improve the quality and availability of early intervention services. The projects improve school readiness of children with disabilities and provide direct support for Goal 1, school readiness.

Services

The program supported a wide variety of activities including the following:

- Five research institutes:

  1. Longitudinal studies of the effects and costs of early intervention (Utah State University).

2. Evaluation and development of programs and curricula for teacher and other personnel training (University of North Carolina at Chapel Hill).

3. Development and evaluation of interventions to improve the transitions of children and families (University of Kansas).

4. Development and field-testing of intervention strategies to improve the integration of handicapped children into regular preschool, childcare, prekindergarten, and kindergarten programs (Allegheny - Singer Research Institute).

5. Development of new or improved organizational structures for the identification, referral, and intervention process (Children's Hospital Corporation, Boston, MA).

6. Development and evaluation of intervention strategies for children who were neonatally exposed to drugs and children who were born with fetal alcohol syndrome (University of Kansas).

- Six directed research studies of the effects of language, motor, or social skills interventions.

- Nine experimental projects in two areas:

    1. Alternative language and mobility training approaches.

    2. Field-initiated research investigating alternative interventions and approaches.

- Fifty-seven demonstration projects in five areas:

    1. Innovative inservice training programs for personnel serving handicapped and at-risk infants.

    2. Integrated preschool services.

    3. Methodology for serving infants and toddlers with specific disabilities.

    4. Field-initiated demonstrations in early childhood education.

    5. Information management.

- Forty-four outreach/dissemination projects with documented model programs for dissemination and replication in other sites.

- Technical assistance. A national early childhood technical assistance project is funded at the University of North Carolina at Chapel Hill and is designed to:

  1. Help State agencies develop and implement plans for delivering services to children with disabilities from birth through age 5.

  2. Provide community agencies with help to develop the capacity to provide high quality services.

  3. Facilitate the exchange of research and "best-practice" information.

Program Administration

This program administers competitive discretionary grants, cooperative agreements, and contracts.

III. SOURCES OF INFORMATION

1. Twelfth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1990).

2. Goal Evaluation of the Handicapped Children's Early Education Program (Washington, DC: COSMOS Corporation, 1986).

3. Strategy Evaluation of the Handicapped Children's Early Education Program (Washington, DC: COSMOS Corporation, 1987).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Jim Hamilton, (202) 205-9084

Program Studies : Nancy Rhett, (202) 401-3630

PROGRAM FOR CHILDREN WITH SEVERE DISABILITIES
(CFDA No. 84.086)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, Part C, Section 624 (20 U.S.C. 1424) (expires September 30, 1994).

Purpose: To improve early intervention, special education, and related services for children with severe disabilities by supporting research, development, demonstration, training, and dissemination activities that address their needs.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$ 2,247,000	1985	$4,300,000
1975	2,826,000	1986	4,785,000
1980	5,000,000	1987	5,300,000
1981	4,375,000	1988	5,361,000
1982	2,880,000	1989	5,297,000
1983	2,880,000	1990	5,819,000
1984	4,000,000	1991	7,869,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

These programs address Goals 1 and 3, by helping assure that children with disabilities are ready for school and are afforded opportunities for achieving educational and citizenship skills.

Population Targeting

In FY 1991, 8 new demonstration projects were awarded to serve children with severe disabilities; 42 continuation projects were also supported.

Services

Awards made in FY 1991 included grants and cooperative agreements to support activities and services in the following general categories: State-wide Systems Change (16 continuation cooperative agreements), Utilization of Innovative Practices for Children with Severe Disabilities (4 new grants and 12 continuation grants including 1 forward-funded in prior year), Validated Practices (5 continuation grants including 1 forward-funded in prior year), and Innovations for Educating Children with Severe Disabilities in General Education Settings (3 new grants, 9 continuation grants including 1 forward-funded in prior year).

These projects provide a variety of services including technical assistance at the State level; inservice training to teachers, related service personnel and administrators, local education agencies, and State education agencies; and testing of solutions to specific problems in the delivery of special education and related services to students with severe disabilities.

Almost half of FY 1991 funding ($3,535,576) supports projects which promote State-wide systems change. These projects, in conjunction with IDEA, Part B State's plan, include activities to improve the quality of special education and related services in the State for children and youth with severe disabilities (including children with deaf-blindness), ages birth through 21, and to change the delivery of these services from segregated to integrated environments. The projects must identify resources available in the State, and must establish services needed to improve services in regular education settings.

In addition, a new 18-month cooperative agreement will support a symposium to identify critical issues and best practices, and recommend future directions for the acquisition and enhancement of effective communication by children with severe disabilities, including deaf-blindness.

Program Administration

Program efforts in FY 1991 continued to focus on improving the capacity of State education systems to serve children with severe disabilities in less restrictive environments and on improving interventions in these environments. Program strategies continued to include priorities which support research activities, validated practices, demonstrations based on research methodology, use of effective educational practices, and dissemination of best practices.

State-wide Systems Change grantees are required to evaluate the effectiveness of their activities, including their effectiveness in increasing the number of children in regular school settings alongside their same-aged nondisabled peers. They must also evaluate and disseminate information about the project's outcomes.

A product of the "Symposium on Children with Severe Disabilities: Effective Communication" will be a document identifying critical issues and best practices, intended to assist persons with severe disabilities, their families, and those who provide service to them.

Management Improvement Strategies

Programs continued to pursue management improvement strategies in FY 1991, including:

- Including more prescriptive and specific evaluation and dissemination components in priorities listed in the Federal Register, to ensure that better proposals are submitted.
- Disseminating project information through the development and ongoing use of a data-based information system. This information is accessible to all projects through the Federal Regional Resource Center, as well as the central office. In addition, an annual conference was held which focused on strategies for dissemination of project information.
- Providing guidance to grantees in the preparation of interim and final project reports, review of these reports and referral for their publication in the Council for Exceptional Children/Education Research Information Center (CEC/ERIC).
- Providing specialized assistance in designing evaluation plans and instrumentation through technical assistance monitoring.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991).

2. Evaluation of Discretionary Programs Under the Education of the Handicapped Act: Strategy Evaluation of the Severely Handicapped Program: Final Report (Washington, DC: COSMOS Corporation, June 1988).

3. Evaluation of Discretionary Programs Under the Education of the Handicapped Act: Strategy Evaluation of the Severely Handicapped Program: Final Report Review Subtask (Washington, DC: COSMOS Corporation, June 1988).

4. Report of Office of Special Education Programs Technical Assistance and Dissemination Conference (Lexington, KY: Federal Regional Resource Center, September 1990).

IV. PLANNED STUDIES

A review of this program, focusing on the extent to which the program is meeting its goals, is currently underway. A final report is expected in 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Dawn Hunter, (202) 205-5809

Program Studies : Lenore Garcia, (202) 401-3630

POSTSECONDARY EDUCATION PROGRAM FOR INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.078)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), Part C, Section 625 (20 U.S.C. 1424(a)) (expires September 30, 1994).

Purpose: This program supports the development, operation, and dissemination of specially designed model programs of postsecondary, vocational technical, continuing or adult education for individuals with disabilities. Two types of funded projects are offered: (1) grants to four regional projects for model comprehensive support services and Statewide, regional, and national outreach activities that serve persons who are hearing impaired (deaf and hard of hearing); and (2) demonstrations and special projects that develop innovative models of educational programs for the delivery of support services and programs for postsecondary and adult students with disabilities.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$2,400,000	1986	$5,264,000
1981	2,950,000	1987	5,900,000
1982	2,832,000	1988	5,840,000
1983	2,832,000	1989	5,770,000
1984	4,000,000	1990	6,510,000
1985	5,300,000	1991	8,559,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports the achievement of Goal 5, which addresses adult literacy, workplace competency, and citizenship.

Population Targeting

Awards are authorized to State education agencies, institutions of higher education, junior and community colleges, vocational and technical institutions, and other nonprofit education agencies, for the purpose of developing, operating, and disseminating programs for individuals with disabilities.

Services

In FY 1991, grants awarded included four for the regional programs for the deaf, and 35 for postsecondary demonstration projects (17 new grants, 9 continuation grants, and 9 forward-funded from prior year). In addition, one new contract was awarded for "Evaluation and Dissemination of Effective Practices," two Minority Outreach Centers were jointly funded with other IDEA programs, and several field reader contracts were awarded.

Priority in FY 1991 was on projects that enhanced the role and capacity of career placement offices to provide pre-employment and employment opportunities for students with all disabilities. These projects promote successful vocational outcomes through inservice staff training, school and community collaboration, expanded work-study opportunities, and technical assistance.

Four Regional Programs for the Deaf provide model specially designed or modified programs of support services which enable deaf students who are from a multi-State region to participate in regular postsecondary offerings alongside their non-disabled peers.

Postsecondary Demonstration Projects support model demonstrations that enhance the role and capacity of career placement offices to provide pre-employment and employment opportunities for students with disabilities in community and four-year colleges, universities, technical and vocational institutes, and adult and continuing education programs.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Joseph Rosenstein, (202) 205-8876

Program Studies : Lenore Garcia, (202) 401-3630

TRAINING PERSONNEL FOR THE EDUCATION OF INDIVIDUALS WITH DISABILITIES

(CFDA No. 84.029)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), Part D, Sections 631, 632, 634 and 635, P.L. 91-230, as amended, (20 U.S.C. 1431, 1432, 1434 and 1435) (expires September 30, 1994).

Purposes: To improve the quality and reduce the shortages of personnel providing special education, related services, and early intervention services to children with disabilities.

Grants are awarded to institutions of higher education, State education agencies, and other appropriate nonprofit organizations (1) to train teachers and other education personnel, administrators, related services personnel, early intervention personnel, parents, and volunteers; (2) to develop and demonstrate new approaches to personnel training; (3) to support partnerships for personnel training; and (4) to provide assistance to State education agencies in providing a comprehensive system of special education personnel development.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$19,500,000	1985	61,000,000
1970	36,610,000	1986	61,248,000
1975	37,700,000	1987	67,730,000
1980	55,375,000	1988	66,410,000
1981	43,500,000	1989	67,095,000
1982	49,300,000	1990	71,000,000
1983	49,300,000	1991	69,288,099
1984	55,540,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program furthers Goals 1 through 4 in that it provides assistance to children with disabilities to succeed in school.

Population Targeting

Numbers of Special Education Teachers: States reported that 300,503 special education teachers and 255,904 non-teaching special education staff were employed for the 1988-89 school year. Teacher aides constituted 57 percent of the non-teaching staff. Table 1 contains information on the numbers of teachers and related services personnel by category, the numbers of staff reported by States as being needed, and the percentage increase needed to remedy perceived shortfalls.

Students served: In FY 1989, based on a 70 percent response rate of grantees, 9,859 persons were enrolled as full-time or part-time students in preservice training. About 70 percent were studying educational fields and 30 percent were studying fields in related services areas. Specific categories are shown in Table 2.

Funding: Most of the funding in FY 1991 was awarded to institutions of higher education for personnel training (71 percent); 10 percent was used for State education agency development and training activities; 8 percent for minority institutions projects; and 8 percent for special projects.

Grantees: A total of 844 awards were made: 725 grants to colleges and universities for personnel training, 62 grants for development and demonstration projects, and 57 grants to State education agencies. One award was made for a technical assistance project to provide support for the parent training projects.

Use of funds: Training programs are usually in universities and typically support the costs of a project director/coordinator, student stipends and, in some cases, instructor salaries. All teacher training projects funded in recent years concentrate on preparing students for a baccalaureate or graduate degree in special education or related services areas. Projects have also been funded to develop related services personnel, teacher trainers, researchers, administrators, and other specialists.

Table 1

Numbers of Special Education Teachers and Related Services Personnel, Reported by States (School Year 1988-89)

	Numbers	Needed	Perceived Shortfall
Special Education Teachers			
Learning disabled	88,032	6,853	24.5%
Mentally retarded	44,668	3,341	11.9
Speech and language impaired	37,139	3,110	11.1
Emotionally disturbed	27,547	4,553	16.3
Multihandicapped	7,575	788	2.8
Hard of hearing and deaf	7,062	622	2.2
Orthopedically impaired	3,143	261	0.9
Visually handicapped	2,892	360	1.3
Other health impaired	2,763	339	1.2
Deaf-blind	221	36	0.1
Not categorized	65,504	7,714	27.6
Subtotal, teachers	286,546	27,977	100.0
Other Personnel			
Paraprofessionals	144,907	5,990	38.4%
Other non-instructional staff	30,681	2,182	14.0
Psychologists	17,853	1,411	9.0
School social workers	8,559	898	5.8
Diagnostic staff	8,994	651	4.2
Counselors	6,995	740	4.7
Physical education coordinators	5,957	417	2.7
Vocational education	4,913	512	3.3
Occupational therapists	4,207	699	4.5
Physical therapists	3,003	636	4.1
Work-study coordinators	1,313	286	1.8
Audiologists	1,323	207	1.3
Recreational therapists	284	104	0.7
Supervisors	15,707	756	4.8
SEA supervisors	1,209	105	0.7
Subtotal, other personnel	255,904	15,594	100.0
Total, all personnel	542,450	43,571	100.0

Source: III.1.

Table 2

FY 1989 Special Education Personnel Preparation Projects
Numbers of Full- and Part-Time Students Participating and Numbers Who Received Degrees

Training Category	Number of Students	Percent of Total	Number who Received Degrees	Percent of Total
Educational personnel				
Cross-categorical education	2,781	28.2	535	22.0%
Learning disabled education	797	8.1	216	8.9
Mentally retarded education	691	7.0	217	8.9
Emotionally disturbed children	682	6.9	188	7.7
Multihandicapped education	320	3.2	104	4.3
Visually handicapped education	196	2.0	58	2.4
Deaf education	224	2.3	103	4.2
Other health impaired education	17	0.2	1	0.0
Deaf-blind education	21	2.0	3	0.0
Hard of hearing education	80	0.8	36	1.5
Orthopedically impaired education	34	0.3	11	0.5
Vocational education	178	1.8	28	1.2
Supervisory administrator	153	1.6	86	3.5
Paraprofessional	492	5.0	9	0.4
Related services personnel				
Other (medical personnel and interpreters)	911	9.2	149	6.2%
Speech language pathologist	1,239	12.6	361	14.8
Adaptive physical education	216	2.2	101	4.1
Psychologist	225	2.3	33	1.4
Audiologist	192	1.9	76	3.1
Occupational therapist	181	1.8	62	2.5
Physical therapist	27	0.3	14	0.6
Therapeautic recreation therapist	186	1.9	38	1.6
School social worker	16	0.2	5	0.2
Total	9,859	100.0	2,434	100.0

Source: III.1.

The development and demonstration projects may develop and test curriculum materials, teacher guides, or training modules for training programs of all types; evaluate the materials or model program; and/or disseminate the materials or model program. Projects focused on computer technology; infants, ages birth through 2; adapted physical education; corrections education; emotionally disturbed children; transition from school; and parent training, as well as a variety of other special education areas. Many of these projects also provide some training to students.

State education agency grants support the salaries of State education agency personnel to improve the quality of special education personnel development in their State.

Outcomes

For school year 1988-89, projects reported that 5,123 students received degrees or certification.

Management Improvement Strategies

During FY 1991, the Department's Office of Special Education Programs began revising procedures for collection of data from grantees on program graduates.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on Implementation of the Education of the Handicapped Act (Washington, DC: Department of Education, 1991).
2 Program files.
3. State education agency reports.
4. Reports from personnel training grant recipients, 1991.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Max Mueller, (202) 205-9554

Program Studies : Nancy Rhett, (202) 401-3630

CLEARINGHOUSES FOR THE DISABLED PROGRAM
(CFDA No. 84.030)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, Part D, Section 633, (20 U.S.C. 1433) (expires September 30, 1994).

Purpose: The purpose of the Clearinghouses for the Disabled Program is to support three clearinghouses that: (1) disseminate information and provide technical assistance to parents, professionals, and other interested parties; (2) provide information on postsecondary programs and services for individuals with disabilities; and (3) encourage students and professional personnel to pursue careers in the field of special education.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 250,000	1985	$1,025,000
1970	475,000	1986	1,062,000
1975	500,000	1987	1,200,000
1980	1,000,000	1988	1,149,000
1981	750,000	1989	1,135,000
1982	720,000	1990	1,479,000
1983	720,000	1991	1,525,000
1984	1,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The role of the clearinghouses is to exchange information on special education among a wide range of constituents. As such, they further Goals 1, 2, 3, 4, and 5 by providing information essential to access to preschool education, postsecondary education, improvement of student achievement (including mathematics and science), and literacy programs.

Population Targeting

This program supports three clearinghouses aimed at providing information to parents, special education students, educational professionals for children and youth, and a wide range of educational, vocational, and independent living organizations.

The National Information Center for Children and Youth with Disabilities provides parents, professionals, and others with current and factual information regarding the diverse issues related to the education of children and youth with disabilities. Also, the project provides technical assistance and promotes the involvement of individuals with disabilities, their families, volunteers, and professionals in providing information to the general public. A major emphasis of this project is to develop and disseminate, in appropriate language and media, material to assist those families with low reading abilities which have children and youth with disabilities; families whose primary language is not English; and families that are in isolated sectors of the country where obtaining specific information for a particular child is difficult.

The National Clearinghouse on Postsecondary Education of Disabled Individuals provides information to the public on educational support services, procedures, policies, adaptations, and educational and training opportunities on American campuses, vocational technical schools, independent career schools, adult and continuing education programs, independent living centers, and other training entities after high school for youth and adults with disabilities. Information on the kinds of accommodations that enable full participation by persons with disabilities in regular as well as specialized postsecondary programs is also available.

The National Clearinghouse on Careers and Employment in Special Education provides information to the public on personnel, career opportunities, and training in special education. This clearinghouse collects and disseminates information on current and future needs for special education and related services personnel; disseminates information to high school counselors and others concerning career opportunities in special education and related services, location of programs, and various forms of financial assistance; identifies training programs for the various special education and related-services professionals around the country; provides technical assistance to institutions seeking to meet State and professionally recognized standards of professional preparation; and establishes a network among local and State education agencies and institutions of higher education concerning the supply of graduates and available openings.

Services

The three clearinghouses disseminate information concerning educational and career opportunities for persons with disabilities. In school year 1987-88, the clearinghouses reponded to 58,000 requests for information; in school year 1988-89, some 80,000 requests; in school year 1989-90, 77,000 requests; and in 1990-1991, over 102,000 requests.

Networking activities performed by the three clearinghouses are accomplished by direct mailings, telecommunications, and conference participation.

Outcomes

Public requests for information at the clearinghouses have doubled over the last four years (III.1.).

Program Administration

The National Information Center for Children and Youth with Disabilities is operated by Interstate Research Associates in McLean, Va.; the National Clearinghouse on Postsecondary Education of Handicapped Individuals is operated by the American Council on Education, Higher Education and the Disabled (HEATH), Washington, D.C.; the National Clearinghouse on Careers and Employment in Special Education is operated by the National Association of State Directors of Special Education (NASDSE), Washington, D.C.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	Sara Conlon, (202) 205-1857
Program Studies	Susan Thompson-Hoffman, (202) 401-3630

RESEARCH IN THE EDUCATION OF INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.023)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part E, Sections 641-643 (20 U.S.C. 1441-1443) (expires September 30, 1994).

Purpose: The purposes of this program are to advance knowledge regarding instruction and other interventions for infants, toddlers, children, and youth with disabilities, and advance the use of knowledge by personnel providing special education, related services, and early intervention services. Awards are authorized for a wide range of research and related activities, and may be made to State and local education agencies, and other public agencies, institutions of higher education, and nonprofit private organizations. Awards may also be made to profit-making organizations for certain limited activities. The program is one of the oldest continuous sources of Federal funding for studies in the field of special education.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1964	$2,000,000	1985	$16,000,000
1970	13,360,000	1986	16,269,000
1975	9,341,000	1987	18,000,000
1980	20,000,000	1988	17,233,000
1981	15,000,000	1989	17,026,000
1982	10,800,000	1990	19,825,000
1983	12,000,000	1991	20,173,000
1984	15,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program conducts research on preschool education, dropping out among disabled students, student achievement, mathematics and science curricula, and preparation for the world of work, further education, and independent living. As such, the program supports Goals 1, 2, 3, 4, and 5 of the National Goals.

Population Targeting

This research program is directed toward improving services for disabled infants, toddlers, children and youth, and providing key information to teachers, administrators, and stakeholders for disabled students.

Services

The research program sponsors multiple research programs including: (1) Field Initiated Research; (2) Student Initiated Research; (3) Initial Career Awards Program; (4) Small Grants Program; (5) Directed Research Projects (e.g., an early childhood research policy institute; research on school building models for educating students with handicaps in general education settings; home and school cooperation; and a research institute on the placement and integration of children with severe handicaps); and (6) Special Projects (e.g., a study of the Organization for Economic Cooperation and Development member countries to determine successful approaches used by regular schools to educate all children in their localities; a study aimed at assisting in the development and utilization of effective State and local policy options related to educational reform; approaches and choices in developing social competence in students with disabilities; textbook adoption processes and criteria; the implications for integrating children with disabilities into mainstream education; and centers for organizing and analyzing the research knowledge base for children with attention deficit disorder (ADD)).

Program Administration

In FY 1991, 145 grants and contracts were awarded. Awards were made to State and local education agencies, institutions of higher education, and nonprofit private organizations. Profit-making organizations are allowed to receive awards only for contracts dealing with research related to physical education or recreation.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

An evaluation study to examine the goals and activities of the Innovation and Development Division is in process and will be concluded in 1992. Also during 1992, a process will start to develop a multi-year research and strategic agenda for the Part E program.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Martha Coutinho, (202) 205-8156

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

CAPTIONED FILMS, TELEVISION, DESCRIPTIVE VIDEO, EDUCATIONAL MEDIA FOR INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.026)

I. PROGRAM PROFILE

Legislation: The Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended (20 U.S.C. 1451-1454) (expires September 30, 1994).

Purpose: To promote the use of communications and learning media by persons with disabilities. The program primarily provides support for the captioning and distribution of films and captioning of television programs for persons who are deaf; descriptive videos for the visually impaired; and the National Theatre of the Deaf and other appropriate nonprofit organizations. These activities are intended to encourage the educational advancement of persons with disabilities and to provide them with enriched educational and cultural experiences.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$2,800,000	1985	$16,500,000
1970	6,500,000	1986	16,747,000
1975	13,250,000	1987	13,804,000
1980	19,000,000	1988	13,216,000
1981	17,000,000	1989	13,403,000
1982	11,520,000	1990	15,192,000
1983	12,000,000	1991	16,424,000
1984	14,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

Population Targeting

This program is aimed at persons who are deaf or hard of hearing, blind or visually impaired, or who otherwise can benefit from special interventions to improve their use of the media. The number of people in the United States who meet these conditions is not known. However, in FY 1985, 21.5 million persons were identified as hearing impaired by the National Health Interview Survey of the National Center for Health Statistics. This figure includes both the mildly impaired and fully deaf persons. Of the total, about 1.6 million persons are deaf.

Services

In FY 1991, 54 projects were awarded for captioned films and video cassettes, 18 for captioned television programs, and one to support the study of advanced technology to benefit persons with sensory impairments. In addition, one award was made to Recording for the Blind, Inc., and one for the National Theater of the Deaf. Finally, two projects and seven research projects on descriptive video were awarded. More than $10 million was spent on captioning films and television programs.

Program Administration

Project awards are generally for one to three years. Eligible institutions include profit and nonprofit, public and private agencies, institutions, and organizations.

In FY 1991, contracts were made with 34 educational film companies and 20 general interest companies to caption 99 educational titles and 67 feature-length titles for placement in captioned films libraries and depositories.

Outcomes

Recording for the Blind, Inc., distributes about 90,000 recorded books to students and records 4,000 new texts each year.

All major newscasts, all prime time television programming, as well as all Saturday morning children's programming on the major broadcast networks are closed-captioned. Additionally, children's programming on PBS, all major sporting events, many daytime syndicated and classic syndicated programs that are newly released ("evergreen" programs), and some cable programming are now being closed captioned. Captioning is supported by the Department of Education, the networks, program producers, cable companies, and many private businesses and foundations. Closed captioned commercials and music videos are funded entirely by the private sector. Closed captioned videocassettes are routinely available in local video rental stores.

Across the Nation, many local television stations are captioning their own local news programs. There are over 140 television stations engaged in this activity, with 17 supported in their captioning activities by the Department of Education. A National Conference on Closed Captioned Local News was sponsored by the Department of Education in FY 1991, to examine issues in quality of captioning local news broadcasts.

Two cooperative agreements with WGBH Educational Foundation to provide access to television and home videos to persons with visual impairments, will result in 50 described movies in home video format and at least 150 programs per year for public television.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991).

2. "Analysis of Demand for Decoders of Television Captioning for Deaf and Hearing-Impaired Children and Adults" (Washington, DC: Pelavin Associates, Inc., April 1989).

3. Program files.

IV. PLANNED STUDIES

In FY 1991, the Department began a descriptive evaluation of the Instruction Media for Individuals with Disabilities Program's distribution system. A final report assessing the system and offering recommendations were expected in FY 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ernie Hairston, (202) 205-9172,
(202) 205-8170 TDD

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

SPECIAL STUDIES
(CFDA No. 84.159)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part B, Section 618 (20 U.S.C. 1418) (expires September 30, 1994).

Purposes: The purposes of the Special Studies program are as follows:

- to assess progress in the implementation of the Individuals with Disabilities Education Act;
- to assess the effectiveness of State and local efforts to provide free and appropriate public education to all children and youth with disabilities and early intervention services to infants and toddlers with disabilities;
- to provide Congress with information relevant to policy making; and
- to provide Federal, State, and local agencies with information relevant to program management, administration, and effectiveness.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$1,735,000	1986	3,170,000
1980	1,000,000	1987	3,800,000
1981	1,000,000	1988	3,638,000
1982	480,000	1989	3,594,000
1983	480,000	1990	3,545,000
1984	3,100,000	1991	3,904,000
1985	3,100,000		

Awards may be made to State and local education agencies, institutions of higher education, public and private nonprofit organizations, and private profit organizations when necessary because of the unique nature of the study.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program conducts evaluation studies, including studies to assess (a) State and local programs in serving preschool children (Goal 1); (b) educational outcomes of students with disabilities including status of high school exit (i.e., graduation or dropping out) (Goal 2); and (c) the effect of education reforms on the achievement of disabled students (Goal 3).

Population Targeting

Studies are conducted on evaluation issues relating to the provision of special education and related services to infants, children, and youth, ages birth to 22.

Services

Federal Evaluation Studies

Study of Anticipated Services for Students with Handicaps Exiting from Schools

- The Department continued work to develop and test a microcomputer-based system to aggregate data on anticipated services for exiting students. Data from early evaluations of the system will be used to refine the list of services and definitions currently used by States for Federal reporting of anticipated services data. Field testing of the system was conducted during FY 1991.

Longitudinal Study on a Sample of Handicapped Students

- This study was required by P.L. 98-199, which stipulates that a longitudinal study of a sample of secondary special education students be conducted to examine their occupational, educational, and independent living status after leaving secondary school. To date, the Department has conducted two data collections on a sample of students ages 13 to 26. Ten volumes of data analyses, a final report, and several topical reports from the first round of data collection are currently available.

Center for Outcome Assessment for Children and Youth With Disabilities

- This center will assist in the design, planning, development, implementation and use of a comprehensive system of national indicators to effectively assess outcomes for children with disabilities. The Center will produce (1) a listing for each State on the status of outcomes assessment; (2) a conceptual framework with an initial listing of indicators for children with disabilities; (3) a plan for information exchange including target audiences, exchange methods, and a schedule for implementation; (4) a plan for providing solutions to technical and implementation issues; and (5) a plan for conducting secondary data analyses.

Access of Deaf Students to Postsecondary Programs

- This project will gather baseline data on the experiences of deaf students served by federally funded postsecondary institutions. This study is mandated by Congress to identify gaps in existing information, and to detail how current data collections could be enhanced.

State Evaluation Projects

State Agency/Federal Evaluation Studies Program

Projects Funded in FY 1991

The Arizona Department of Education is assessing the impact and effectiveness of activities assisted under the IDEA on the education and post-school outcomes of students with disabilities. The project is collecting follow-along information that describes the post-school community adjustment of school leavers with disabilities, and will implement a system for using follow-along information at State and local levels to improve programs and policies serving students and young adults with disabilities.

The Colorado Department of Education is assessing the impact of needs-based programming on children with severe emotional disturbance (SED). The study will determine if such programs produce better outcomes than programs with no or little need-based programming. The effects of functional outcomes analyses and instructional themes on programming for children with SED will also be examined.

The Michigan Department of Education is developing workable alternatives for overcoming barriers that impede the successful implementation of Part H of IDEA. Stakeholders are determining the barriers to implementation of a system of early intervention services in Michigan, options and alternatives for overcoming these barriers, and effective strategies for implementation.

The Utah State Office of Education is evaluating the extent to which pre-referral interventions impact the instructional program and/or placement outcomes as mandated in the State Board of Education Special Education Rules. The study is assessing the variables that influence student outcomes following the pre-referral process, and comparing the significant process and outcome variables.

The Virginia Department of Education is gathering information about the local application of the Virginia Special Education Program Standards on class size and class mix, and describing the effects of variations of these standards on administrators, teachers, ancillary support professionals, students with disabilities, and their parents.

The Michigan Department of Education is developing a statewide "Report Card" on outcome performance areas for four educational levels and five disability areas, and evaluating the extent of statewide implementation of the Program Outcome Guides and assessment strategies.

The Oregon Department of Education is carrying out a feasibility study to analyze the effects of the Comprehensive Plan for Supported Education on LEA policy, service delivery system participant attitudes, and student outcomes.

The Connecticut State Department of Education is developing and pilot testing an attitude assessment instrument to measure students' judgments and self-perceptions about their participation in a special education program. The attitudes and attributes component is one of four outcome areas in the overall development and implementation of a statewide evaluation of special education services in Connecticut.

The Colorado Department of Education is developing a model, critical attributes, and effective evaluation tools to understand and improve co-teaching among regular and special education teachers.

Findings of Studies Ending in FY 1991

The Kentucky Department of Education conducted a follow-up study of students who were enrolled in special education in Kentucky in 1982-1983 to examine the relationship between secondary school experiences and post-school outcomes. Specifically, the study examined the effect of placement in a special education program on postsecondary outcomes for students with different disabilities; the effect of participation in vocational education on postsecondary outcomes of special education students; and the effect of community-referenced instruction on postsecondary outcomes of special education students. The postsecondary outcomes that were examined included employment, marriage, socialization, group membership, possession of a driver's license, and economic indicators.

Findings from the study indicate that:

- At the time of the interview, 58 percent of the respondents were employed. This was a somewhat higher figure than obtained in national studies of special education exiters. Of those employed, 81 percent were earning minimum wage or more. Learning disabled students were most likely to be employed (72 percent), while only 36 percent of students classified as other severely disabled were employed.

- Twenty-six percent of the respondents indicated that they were married; 88 percent engaged in social activities; and 21 percent were members of a social group. Mildly disabled students were far more likely than more severely disabled students to have a driver's license (80 percent for learning disabled and other mildly disabled compared to 27 percent for students categorized as other severely disabled).

- Overall, the employment outcomes of students who participated in vocational education were slightly better than for those students who did not participate. Interestingly, the data suggest that students with more severe disabilities benefit more from vocational education in terms of post-school employment than students with milder disabilities. For those respondents characterized as other severely disabled, 51 percent who took vocational education classes in school were employed at the time of the survey compared to 27 percent of those who did not participate in vocational education.

The Bureau of Special Education Services in New Hampshire conducted a feasibility study to further develop State and local capacities to evaluate the outcomes of special education services. The project conducted a pilot study to determine for high school special education students: (1) absence, suspension, withdrawal rates, and grade performance outcomes; (2) whether absence, suspension, and withdrawal rates for learning disabled and emotionally handicapped students differ; (3) grade performance by subject and disability; (4) relationships between outcome variables; and (5) relationships at the school level between suspension rates and teacher perceptions of special education program delivery.

The pilot study found that:

- Twenty-eight percent of disabled students were suspended at least once during the year. Females had significantly higher suspension rates than males (31 percent versus 22 percent); mainstreamed students were more likely to be suspended (29 percent versus 21 percent); and disabled students in non-urban settings were more likely to be suspended than their urban peers (31 percent versus 22 percent). Fewer regular education students (14 percent) in participating schools were suspended compared to special education students (28 percent).

- The 1988-1989 dropout rate for participating disabled students was 8 percent compared to 5.5 percent for participating non-disabled students. Mainstreamed students with emotional handicaps dropped out at the highest rate of all (14 percent). Disabled students in urban settings had significantly higher dropout rates than those in non-urban settings (10 percent versus 6 percent).

- A high proportion (65 percent) of mainstreamed students with learning disabilities received at least one D or F in one or more subject areas. Male students with learning disabilities and 10th and 11th graders were more likely than females and 12th graders to have received a D or F. An even greater percentage of mainstreamed emotionally handicapped students received at least one D or F in English and in social studies, and over half received a D or F in mathematics and science.

The Maryland Department of Education documented post-school outcomes for students with disabilities who exited from Prince George's County Public Schools in 1987-1988. Data were collected in two interviews, with the first shortly after graduation and the second eight months later. Data were analyzed according to level. In Maryland, level I includes the least severely impaired students and level V includes the most severely impaired.

The study produced the following findings:

- Most students were employed in service, clerical and sales positions. By the second interview, some graduates in levels I-III found jobs in machines and trades.

- At interview 2, 57 percent of graduates in levels I-III and 30 percent of graduates in level IV were involved in post-secondary training.

- While some students moved away from home between interviews 1 and 2, the vast majority of students continued to live at home (90 percent for levels I-III, 95 percent for level IV). In addition, while driving themselves was the most frequent means of transportation, only 30 percent of level IV students and less than 5 percent of level V students drove themselves.

- The study found a higher rate of placement in employment or adult services for moderately and severely disabled students in level V than many previous studies. This may be due, at least in part, to a federally funded model demonstration project called PLANS that is sponsored by United Cerebral Palsy. The project provided case managers to level V students as they graduated. Files from the PLANS project indicated that 81 percent of the level V participants in this study were served by a PLANS case manager. A second reason may be the fact that vocational coordinators arranged work-study placements for graduating students so many of the students were employed before leaving school.

The Minnesota State Department of Education examined issues of overlap in special and regular education in terms of the appropriate and current roles of staff, and current and ideal service delivery models.

The study found that:

- The respondents believe the abilities of those who are mildly disabled and those who are low-achieving differ and the skills required to work with these two types of students differ. For instance, in a group of items on student abilities, the majority of respondents in each group felt low-achievers could function on grade level with appropriate assistance. However, slightly less than one half of all respondents felt mildly disabled students could achieve grade level performance. When asked whether regular education teachers possessed the skills necessary to deal with the academic problems of low achievers, the majority of respondents in each group agreed that regular classroom teachers were successful in teaching these students, but slightly less felt that regular education teachers possessed the skills to teach mildly disabled students.

- While most principals responding to the survey felt regular education teachers could effectively teach mildly disabled students, less than half of the other respondents (special education teachers, regular education teachers, and special education administrators) were in agreement with principals on this point.

Program Administration

In FY 1991, nine awards were made: six "State Agency/Federal Evaluation Studies Projects" and three "State Agency/Federal Evaluation Studies Projects - Feasibility Studies of Impact and Effectiveness."

National Studies

A cooperative agreement was awarded to the University of Minnesota in FY 1990 to support a National Center for Outcome Assessment. Researchers continued to work on the design, planning, development, implementation, and use of a comprehensive system of national indicators to effectively assess outcomes for children with disabilities. The specific purposes of the project include:

1. Characterize the State of the Practice. The development and implementation of an ongoing tracking and reporting system that describes the status of the design, development, and implementation of outcome indicators on a State-by-State basis.

2. Conceptual Model of Indicators Assessment System. The development of a conceptual framework for specifying a comprehensive system of outcome indicators.

3. Information Exchange. The development and implementation of communication and networking procedures that facilitate and promote the exchange of information among State education agency personnel, professional and parent organization representatives, and other interested parties.

4. Solutions to Technical/Implementation Issues. The identification of technical and implementation issues impeding efforts to assess the outcomes of children with disabilities.

5. Strategic Planning. The design and implementation of an ongoing strategic planning process for advancing the development of a comprehensive system of outcome indicators for children with disabilities. The system will be capable of providing comparable data and allowing for the aggregation of data across States.

6. Secondary Data Analysis. The identification and analysis of State extant data based on student outcome measures that correspond to the conceptual framework of the comprehensive system of indicators.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991).

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Lou Danielson, (202) 205-8119

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

SECONDARY EDUCATION AND TRANSITIONAL SERVICES FOR YOUTH WITH DISABILITIES
(CFDA No. 84.158)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, Part C, Section 626 (20 U.S.C. 1425) (expires September 30, 1994).

Purpose: To strengthen and coordinate education and related services for youth with disabilities currently in school or who recently left school to help them make the transition to postsecondary education, vocational training, competitive employment (including supported employment), continuing education, independent and community living, or adult services; to stimulate the development and improvement of programs for special education at the secondary level; and to stimulate the improvement of the vocational and life skills of students with disabilities to better prepare them for the transition to adult life and services.

Funding History

Fiscal Year	Appropriation
1984	$6,000,000
1985	6,330,000
1986	6,316,000
1987	7,300,000
1988	7,372,000
1989	7,284,000
1990	7,989,000
1991	14,639,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

One of the goals of the Secondary Education and Transitional Services (SETS) program is to reduce the dropout rate of youth with disabilities, and to increase the numbers of students completing high school. As such, this program supports Goal 2 of the National Goals.

Performance Indicators

In 1983, Congress mandated that the U. S. Department of Education commission a national study on the transition experiences of youth with disabilities in secondary school and beyond. The National Longitudinal Transition Study selected a sample of more than 8,000 youth who were ages 13 to 21 and secondary school students in special education in the 1985-86 school year. This nationally representative sample permits generalizations to youth as a whole, as well as to youth in each of the then 11 special education disability categories.

Findings of the first wave of data collection of this comprehensive study can be found in Youth With Disabilities: How Are They Doing?, the first report produced by SRI International (III.2).

This study includes multiple indicators of performance. Not only is extensive information provided on the population receiving transitional services (disability, gender, ethnicity, functional ability, household composition, socioeconomic status, age, school status, and grade level), but comprehensive information on services and program outcomes is provided, including information on coursetaking, placements, performance, school completion, social activities, personal and residential independence, employment, postsecondary enrollment, and productive engagement.

Major findings from this study on the characteristics of youth with disabilities, secondary school programs of students in special schools, secondary school performance, and secondary school completion have been included in Chapter 302. See the Outcomes section of this chapter for further findings from this study.

Population Targeting

In school year 1988-1989, 248,590 students with disabilities left school. Of these, 43.9 percent earned diplomas, 9.7 percent earned certificates of completion, 2.5 percent reached the maximum age served, almost 27 percent dropped out, and 17.3 percent left for other reasons. The count of students exiting with status unknown may include students who transferred to other school districts but were not known to be continuing their education, students who died, or students who did not formally withdraw but simply stopped attending school.

Students who are emotionally disturbed (39 percent), learning disabled (27 percent), and mentally retarded (25 percent) are more likely to exit school by dropping out. Factors associated with dropping out of special education include poor academic performance, poor social adjustment, frequent absenteeism, low parental support, low socioeconomic status, and substance abuse problems.

Services

State-reported data at the Department's office of Special Education Programs show that education placements differ substantially by age (III.3.). While 41 percent of students ages 6 to 11 are served in regular classes, only 19 percent of students ages 12 to 17 and 14 percent of students ages 18 to 21 are served in regular classrooms. The majority of 12 to 17 and 18 to 21 year-olds are served in resource rooms. Twenty-eight percent of 12 to 17 and 32 percent of 18 to 21 year-olds are served in separate classes.

Outcomes

The National Longitudinal Transition Study provides rich information on the outcomes of secondary and transitioning special education students.

In-school outcomes indicate that secondary-school special education students have lower grade point averages (GPAs) than those in the general school-age population (2.0 versus 2.6 GPA); one-third of the students failed a course in their most recent school year; students averaged 15 days absent per year; and one in ten students who remained in school was retained at grade level at the end of the school year.

More than half of youth with disabilities who left secondary school in a two-year period did so by graduating (56 percent), and three-fourths of those graduates were reported by their schools to have been awarded regular diplomas. Almost one-third of school leavers with disabilities dropped out of school (32 percent), a significantly higher dropout rate than for the general population of youth.

Out-of-school outcomes include:

- Forty-six percent of youth were reported by their parents to be employed in the summer of 1987, a substantially lower rate than for youth in the general population (59 percent).
- Employment was more common among youth with higher functional abilities and among males, younger exiters, suburban residents, and those from households with relatively higher incomes.

- Youth who graduated from high school, took vocational education in their last year in high school, or had work experience as part of their vocational training, were significantly more likely than other youth to be competitively employed after high school.

- The median wage was $3.95 per hour, with lower wages for part-time workers ($3.45) than for full-time workers ($4.00).

- Despite increasing opportunities for youth with disabilities to pursue education after high school, only 14% of youth who had been out of secondary school up to two years had enrolled in postsecondary schools in the preceding year. This rate is significantly below the rate of 56% for students in the general population. Enrollment was highest for youth who were deaf or visually impaired (about 1/3 of youth) and lowest for youth classified as mentally retarded, multiply handicapped, or deaf/blind (fewer than 10 percent).

- Postsecondary vocational/trade schools were the most commonly attended by youth with disabilities (nine percent). Only four percent attended a two-year or community college, and one percent attended a four-year college.

- Twenty-two percent of youth with disabilities who had been out of secondary school between one and two years had not been engaged in any education- or work-related activities (so-called "productive activities") in the preceding year. Engagement was most common for youth who were hard of hearing, learning disabled, or deaf, and lowest for those with multiple handicaps. Functional abilities, socioeconomic status, gender, and marital status were important determinants of engagement rates.

Program Administration

Awards are authorized to institutions of higher education, State education agencies, local education agencies, and other appropriate public and private nonprofit institutions and agencies. Seventy-nine projects, primarily demonstrations, were funded in FY 1991. New projects focus on training and employment, self-determination, and family networking. A continuation grant was awarded to the Institute on Intervention Effectiveness, that focuses on the applied problems of youth in transition from high school to post-secondary education, employment, adult and community living, and social integration. Twelve five-year cooperative agreements were funded under the State System for Transition Services for youth with Disabilities. This program serves as a primary source of support and assistance to States implementing the transition services requirements of IDEA.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991).

2. Youth with Disabilities: How Are They Doing? (Menlo Park, CA: SRI International, 1991)

3. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : William Halloran, (202) 205-8112

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

GRANTS FOR SEVERELY EMOTIONALLY DISTURBED
(CFDA No. 84.237)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), Part C, Section 627, as amended by the Education of the Handicapped Act Amendments of 1990, P.L. 101-476 (20 U.S.C. 1426) (expires September 30, 1994).

Purpose: To establish projects for the purpose of improving special education and related services to children and youth with serious emotional disturbance. Projects may have purposes such as the following: demonstration of innovative approaches, facilitation of interagency and private sector resource pooling, or training or dissemination of information to parents, service providers, and other appropriate people.

Funding History:

Fiscal Year	Appropriation
1991	1,952,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This special education program addresses the national goal of school completion (Goal 2). Children with serious emotional disturbance have the highest dropout rates of any category of children with disabilities. Programs are needed to help them to remain in school and prepare for adulthood.

Population Targeting

For school year 1989-90, 382,570 students ages 6 through 21 were served under State Grants for Children with Disabilities or the Chapter 1 State Grants for Handicapped Children program. This number amounted to 0.9 percent of the resident population in the U.S. ages 6 through 21.

The percent of children served varies considerably depending on the State. The percent of children served ranged from .04 percent to 2.1 percent of State populations at the same age levels. State variability may be due to different classification procedures, eligibility criteria, or the overall rates at which States identify school-age children as having disabilities.

These children represent 8.4 percent of all children with disabilities. The prevalence of this condition is highest in the adolescence years, however, unlike most other disabling conditions which show higher prevalences earlier in childhood.

Very few of these children are being served in regular classrooms -- only 14.1 percent. This compares with 76 percent of children with speech impairments, 26.9 percent of children with hearing disabilities, or 19.6 percent of children with specific learning disabilities. Most are served in resource rooms (30 percent) or separate classes (35.8 percent).

Analysis of data on how students exited school shows that students with serious emotional disturbance have by far the highest dropout rate of any group of children with disabilities. In school year 1988-89, 39.1 percent of these students left school by dropping out. Only 36.1 percent graduated or left with a certificate of completion. This group of students also has a comparatively large percent whose school status is simply unknown.

Services

This program funded 12 new projects in 1991: 1 research and 11 demonstration projects. Priority for awards was given to projects that proposed to

- o Analyze the knowledge base for students with serious emotional disturbance, or
- o Develop support for school district, community, and State collaboration in designing and implementing comprehensive service systems.

Projects funded in response to these priorities are as follows:

1. Development of a knowledge base on educational placement of students with serious emotional disturbance, by the Virginia Behavior Disorders Project.

2. Development of rural delivery systems in northeast Kansas to address the needs of two kinds of children with emotional disturbance -- those with aggressive, acting-out behaviors and those who exhibit withdrawn and depressed behaviors.

3. Design and testing of improvements to a comprehensive interagency model for serving these children and their families in Albany, Oregon.

4. Design and testing of a comprehensive system of care for children and youth at risk of serious emotional disturbance in Leon County, Florida.

5. Design and testing of a state-of-the-art comprehensive system of education and related interagency services in Montgomery County, Virginia, including testing of an operational model for case management services in a general education setting and development of a manual for implementation.

6. Determination of the feasibility of a comprehensive community-based system in a rural school district in Vermont, implementation of a planning process for the system, and development of a manual for replication in other communities.

7. Evaluation and expansion of a pilot program in Lagrange, Illinois, called "Wrap Around Program." WRAP is an interagency collaborative approach to providing services in normalized settings.

8. Development and evaluation of a comprehensive service delivery model in middle Tennessee.

9. Development and implementation of a planning process for use by local communities in Indiana. The project involves collaboration among the Indiana State Department of Education, local education agencies in Indiana, and the Institute for the Study of Developmental Disabilities.

10. Implementation of a model program for the coordination of educational, social, mental health, recreational, and other support services in Manatee County, Florida.

11. Development in Great Falls, Montana, of a coordinated model of educational and community support services, including development of a self-help booklet for parents.

12. Implementation of a new collaborative service delivery model in Louisville, Kentucky, and development of a resource guide for parents.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Implementation of Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991)

2. Program files.

IV. PLANNED STUDIES

Several awards are planned for FY 1992 including research and demonstration activities related to reducing out of community placements, support for families, school preparedness for promoting personal and social development, and enhancing professional knowledge skill and strategies.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Martha Coutinho (202) 205-8156

Program Studies : Nancy Rhett (202) 401-3630

GRANTS FOR PARENT TRAINING

(CFDA No. 84.029)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part D, Section 631(c), (20 U.S.C. 1431, 1432, 1434 and 1435) (expires September 30, 1994).

Purposes: To provide training and information to parents of children with disabilities and persons who work with parents to enable them to participate more effectively with professionals in meeting the educational and early intervention needs of children with disabilities.

Grants are awarded to private, nonprofit organizations that are governed by a board of directors of whom a majority are parents of children with disabilities, or have members who represent the interests of individuals with disabilities and which establish a governing committee of which a majority of members are parents of children with disabilities.

Funding History

Fiscal Year	Appropriation
1991	$9,758,873

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This programs furthers Goals 1 through 4 in that it provides assistance to children with disabilities to succeed in school.

Population Targeting

Grants are targeted to parents of children in both urban and rural areas or on a State or regional basis. In addition, grants must serve parents of minority children representative of the proportion of the minority population in the areas being served.

Services

In FY 1991, funds under this authority were used for the following activities:

- Parent Training and Information Centers ($8,498,295; 24 new grants and 36 continuation grants). These projects provide support for parent training and information designed to assist parents of infants, toddlers, children, and youth with disabilities, and to assist persons who work with parents to enable parents to participate more fully and effectively with professionals.

- Technical Assistance to Parent Groups ($1,185,729; 1 continuation grant). The grant provides technical assistance in establishing, developing, and coordinating parent training and information programs. The grantee is the Federation for Children with Special Needs.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Max Mueller (202) 205-9554

Program Studies : Ricky Takai (202) 401-3630.

REMOVAL OF ARCHITECTURAL BARRIERS TO INDIVIDUALS WITH DISABILITIES

(CFDA No. 84.155)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part A, Section 607 (20 U.S.C. 1406) (no expiration date).

Purpose: To pay part or all of the cost of altering existing buildings and equipment in accordance with standards under the Architectural Barriers Act of 1968, P.L. 90-480.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	0	1987	$0
1983	$40,000,000 1/	1988	0
1984	0	1989	0
1985	0	1990	0
1986	0	1991	0

1/ Although funds were appropriated in FY 1983, they could be obligated in any succeeding year.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

Services

This formula grant program provides funds on a one-to-one basis to State education agencies (SEAs) and through them to local education agencies (LEAs) and intermediate education units to alter existing buildings and equipment in order to remove architectural barriers to persons with disabilities. Grants totaling $40,000,000 were made to all eligible State and territories, as of September 30, 1990.

The Education of the Handicapped Act Amendments of 1986 added the Department of the Interior to the list of eligible applicants. Although the Department of the Interior was added to the regulations for this program, it was not eligible to receive funds from the fiscal 1983 appropriation.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Sandra Brotman, (202) 205-9131

Program Studies : Kimmon Richards, (202) 401-3630

EARLY INTERVENTION PROGRAM FOR INFANTS AND TODDLERS WITH DISABILITIES
(CFDA No. 84.181)

I. PROGRAM PROFILE

Legislation: The Individuals with Disabilities Education Act, P.L. 101-476, Part H (20 U.S.C. 1471-1485) (expires September 30, 1994) .

Purpose: To provide Federal assistance to States to establish early intervention services for infants and toddlers with disabilities from birth through age 2, and their families. Funds are to be used to plan, develop, and implement a Statewide comprehensive, coordinated, interagency multidisciplinary system for providing early intervention services. States may also use funds to provide direct services that are not otherwise provided from other public or private sources and expand and improve current services.

By the beginning of the fourth year of its participation, a State must have in effect a Statewide system and must have established a policy to serve all eligible children from birth through age 2, in order to receive funds under this program. By the beginning of the fifth year, States must serve all eligible children. For most States, the first year in which all eligible children must be served is 1991-1992.

Because some States have made good faith efforts to adopt policies consistent with Part H, but have been unable to implement the program according to schedule because of legislative or other delays, States describing why they have been unable to meet the timeline for policy adoption may apply for waivers of the policy adoption requirement for the third year. In these cases, differential funding may be awarded to States for the third year even if the State has not yet adopted the policy.

Funding History

Fiscal Year	Appropriation
1987	$50,000,000
1988	67,018,000
1989	69,831,000
1990	79,520,000
1991	117,107,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program directly supports Goal 1, school readiness. By identifying children in need of early intervention services and providing them that help, States are working to ensure that all children, including those with disabilities, will start school ready to learn.

Population Targeting

This program serves children who are experiencing developmental delays or who have a diagnosed physical or mental condition that has a high probability of resulting in developmental delay. The children may be delayed in one or more of the following areas: cognitive, physical, language and speech, psychosocial development, or self-help skills. States must serve children with developmental delays. At their discretion, they may serve children at risk of developmental delay.

Services

Early intervention services may include family training, counseling, and home visits; special instruction; speech pathology and audiology; occupational therapy; physical therapy; psychological services; case management services; diagnostic and evaluative medical services; assessment and evaluation services; nursing; nutrition; transportation; and health services needed to enable the child to benefit from the other early intervention services.

Program Administration

Grants are based on the proportion of children ages birth through 2 in the general population, except that no State receives less than 0.5 percent of the total funds available to States.

The Governor of each State must designate a lead agency for administration of this program. The State must also establish a State interagency coordinating council with 15 members--to include at least 3 parents, 3 public or private service providers, 1 representative from the State legislature, 1 person involved in personnel preparation, and others representing the appropriate agencies for early intervention services. The State education agency may also be represented although this is not required by law. Each State must develop procedures to implement the 14 required components of the comprehensive Statewide system of early intervention services by the fourth year of participation.

In FY 1990, all States, the District of Columbia, and the Outlying Areas participated in the program. About one-third of the States designated the SEA as lead agency for the program, another third selected the State department of health, another third selected the State department of social or human services.

States continued to organize interagency coordinating councils at the State and local levels, to design their Statewide systems, and to establish common eligibility criteria among various State agencies serving infants. Some States provided funds for direct services to the children. The reliability of information on the numbers served is questionable, given that many States were unable to establish an unduplicated count.

III. SOURCES OF INFORMATION

1. Education of the Handicapped Act Amendments of 1986, P.L. 99-457.

2. Thirteenth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S.Department of Education, 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Jim Hamilton, (202) 205-9084

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

TECHNOLOGY, EDUCATIONAL MEDIA, AND MATERIALS FOR INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.180)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act, Part G, P.L. 101-476, as amended, (20 U.S.C. 1461, 1462) (expires September 30, 1994).

Purpose: To advance the use of new technology, media, and materials in the education of children and youth with disabilities, and the provision of early intervention to disabled infants and toddlers.

Funding History

Fiscal Year	Appropriation
1987	$4,696,000 1/
1988	4,787,000
1989	4,730,000
1990	5,425,000
1991	5,593,000

1/ The Education of the Handicapped Act Amendments of 1986, P.L. 99-457, created this new authority under which activities related to special education technology are funded. Previously, these activities were funded through the Media and Captioning Services program, under Part 7.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program addresses Goal 1, by providing assistance to disabled infants and toddlers so that they may be ready for further schooling. It also addresses Goal 5, by sponsoring the development and application of new technologies to the education of individuals with disabilities, furthering their ability to become literate and prepared for the workplace.

Services

Grants are awarded to institutions of higher education, State and local education agencies, or other appropriate agencies or organizations, to assist the public and private sector in developing and marketing new technology, media, and materials for the education of persons with disabilities; to disseminate information on the availability and use of new technology, media, and materials for such persons; to design and adapt new technology, media, and materials that will improve the education of such persons; and to determine how technology, assistive technology, media and materials are being used most effectively, efficiently, and appropriately for the education of individuals with disabilities.

Program Administration

In FY 1991, a total of 18 awards were made; of that number, 2 were contracts and 15 were grants, and 1 was a cooperative agreement.

Management Improvement Strategies

In FY 1991, a process for setting a national research agenda on technologies, media and materials for this program was field tested; in FY 1992, this agenda-setting process will be implemented. The process is noteworthy in its engagement of the special education community in identifying research needs and, specifically, in clarifying important issues to be investigated and resolved to achieve the goal of better outcomes for students with disabilities.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

An evaluation of selected Office of Special Education (OSEP) discretionary programs is being carried out over a five-year period, through a contract to COSMOS Corporation, to provide OSEP with information related to the achievement of program goals and to enhance program planning, design, implementation, and performance. Selected aspects of the program in Technology, Educational Media, and Materials for Individuals with Disabilities will be included in the study. Results of the study are expected to be available in October 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ellen Schiller, (202) 205-8123

Program Studies : Lenore Garcia, (202) 401-3630

NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH (NIDRR)
(CFDA No. 84.133)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, Title II and Section 311(a), as amended by P.L. 99-506, (29 U.S.C. 760-762a and 777 (a)) (expires September 30, 1992).

Purpose: To support rehabilitation research and the use of such research to improve the lives of individuals with physical and mental disabilities, especially those with severe disabilities, and to provide for the dissemination of information to rehabilitation professionals, individuals with disabilities, and their families concerning developments in rehabilitation procedures, methods, and devices.

Funding History:

Fiscal Year	Appropriation	Fiscal Year	Appropriation 1/
1963	$12,200,000	1984	$36,000,000
1965	20,443,000	1985	39,000,000
1970	29,764,000	1986	42,108,000
1975	20,000,000	1987	49,000,000
1980	31,488,000	1988	51,100,000
1981	29,750,000	1989	53,525,000
1982	28,560,000	1990	54,318,000
1983	31,560,000	1991	58,924,000

1/ Since 1984, $5 million a year has been appropriated for the Spinal Injury program. Although NIDRR administers this program, it is not a part of the NIDRR appropriation. See in this connection, chapter 324 on Grants for Vocational Rehabilitation Services to Individuals With Severe Handicaps.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Improving the lives of individuals with disabilities means increasing their ability to function independently. This contributes to Goal 5 by making it possible for more individuals with disabilities to exercise the rights and responsibilities of citizenship.

Performance Indicators

The purpose of this program is to improve the state of the art in rehabilitation by means of research, and to improve the effectiveness of rehabilitation services by means of dissemination of state-of-the-art knowledge to practioners. Improvements in the state of the art can only be measured with reference to specific types of functional impairment; this means that general or summary measures are not possible. With respect to the program's dissemination function, appropriate measures would require direct testing of practioners' knowledge of best practice, but this is impractical. Thus, as noted below under Outcomes, evidence of the program's impact is largely anecdotal.

Services

About 500 studies are under way at any given time, and 600 training sessions serving approximately 60,000 rehabilitation professionals, are conducted annually. The composition of the National Institute on Disability and Rehabilitation Research (NIDRR) program is shown in the table on page 3.

Table 1
NIDRR Programs, Funding and Projects

	FY 1991 Funding ($ millions)	Number of Projects FY 1991	Number of Projects FY 1990
Rehabilitation Research and Training Centers	$22.8	39	40
Rehabilitation Engineering Centers	11.1	19	18
Research and Demonstration	5.6	27	51
Utilization and Dissemination	8.0	35	18
Field-Initiated Research	7.4	60	63
Fellowships	.4	10	10
Innovation Grants	.8	12	21
Model Spinal Injury	5.0 1/	13	13
Research Training Grants	1.4	18	8
SBIR 3/	.9	10	--
Total	57.5 2/	243	242

1/ Not included in total.

2/ Excludes funding for field readers, consultants, conferences, and printing.

3/ Small Business Innovative Research.

Program Administration

The NIDRR funds research and related activities through nine separate programs. The Rehabilitation Research and Training Centers and Rehabilitation Engineering Centers represent the largest investment of NIDRR resources. Other programs include a directed research and demonstration program, a knowledge diffusion program, Field-Initiated Research, Innovation Grants, and Fellowships. Rehabilitation Research Training Grants were instituted in FY 1986. This program provides support for advanced training in research for physicians and other clinicians. NIDRR is also responsible for promoting coordination and cooperation among Federal agencies conducting rehabilitation research through an Interagency Committee on Disability Research.

Outcomes

No aggregate measures of impact are available, but this program is able to offer many examples of research and dissemination outcomes that qualitatively improve the lives of persons with disabilities. These include the development of methods to overcome restrictions on physical mobility and the establishment of supportive practices permitting fuller participation in community life (III.1).

Mangement Improvement Strategies

In FY 1991, specific priorities were announced for Rehabilitation Research and Training Centers in the areas of vocational rehabilitation and blindness, and vocational rehabilitation and deafness. NIDRR also announced priorities for discrete projects on low back pain, supported employment, disability demographics, and vocational rehabilitation counseling. A new Rehabilitation Engineering Center (REC) in assistive technology for elderly persons with disabilities was also established.

NIDRR has established an integrated planning system for setting goals, developing priorities, and allocating resources over the next five years and beyond. Efforts are also underway to improve the quality of data available on the outcomes and effects of research supported by NIDRR.

On the basis of a consultant report, NIDRR has redesigned its priority for its grants for regional information exchanges to make them more effective vehicles.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

NIDRR is undertaking a major revision of its long-range plan for rehabilitation research. NIDRR also intends to develop program improvement information on its investigator-initiated projects in FY 1992, as well as to evaluate its Rehabilitation Engineering Centers.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Betty Jo Berland, (202) 205-9739

Program Studies : Rob Barnes, (202) 401-0325

REHABILITATION SERVICES--BASIC STATE GRANTS
(CFDA No. 84.126)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 95-602, P.L. 98-221, P.L. 99-506, and P.L. 102-52, Sections 100-111, (29 U.S.C. 720-731) (expires September 30, 1992).

Purpose: To provide a variety of vocational rehabilitation services to individuals with handicaps, to enable them to prepare for and engage in gainful employment to the extent of their abilities.

Federal and State funds cover the costs of a variety of vocational rehabilitation services including, but not limited to, the following: evaluation of rehabilitation potential; counseling and guidance; vocational and other training; reader services for the blind; interpreter services for the deaf; physical and mental restoration services; transportation to obtain vocational rehabilitation services; maintenance during rehabilitation; employment placement; tools, licenses, equipment, supplies, and management services for vending stands or other small businesses for individuals with severe handicaps; rehabilitation engineering services; specific post-employment services necessary to assist individuals with handicaps to maintain or regain employment; assistance in the construction and establishment of rehabilitation facilities; and services to families of individuals with handicaps when such services will contribute substantially to their rehabilitation.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$225,268,000	1985	$1,100,000,000
1970	432,000,000	1986	1,145,148,839
1975	673,000,000	1987	1,277,797,000
1980	817,484,000	1988	1,376,051,000
1981	854,259,000	1989	1,446,375,000
1982	863,040,000	1990	1,524,677,000
1983	943,900,000	1991	1,628,543,000
1984	1,037,800,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program contributes to Goal 5 by helping individuals with disabilities acquire the knowledge and skills necessary for productive employment and the exercise of the rights and responsibilities of citizenship.

Performance Indicators

Measures of program performance annually available through uniform State agency reports include acceptance rate, average time in program, percent of clients with severe disabilities, rehabilitation rate, percent of persons rehabilitated placed in competitive employment, and average gain in weekly earnings from referral to closure of those rehabilitated.

Population Targeting

Recent national surveys have estimated that there are over 21 million Americans of working age with functional limitations. Of this number, about 13 million are significantly limited in the amount or kind of work they can perform, including substantial numbers who are totally incapacitated. The number eligible for vocational rehabilitation under the Rehabilitation Act is still smaller, since ability to benefit from services in terms of employability is also a critical factor, and entitlements under other programs (e.g., veterans or those with worker compensation claims) are often provided for separately. Finally, many potentially eligible individuals fail to apply for service.

Services

In FY 1991, 941,771 individuals were served by State agencies. Of this number, 351,916 (37.4 percent) were newly accepted for vocational rehabilitation, with the balance (589,855) having entered the program in FY 1990 or earlier.

Information on actual services received is most complete for the 220,000 clients whose cases were closed in FY 1989 as successfully rehabilitated. Average time from application to closure for this group was 21.6 months. Private individuals, such as physicans, provided services to 44 percent of the clients rehabilitated. Agency outlays for purchased services amounted to an average of $2,125 per successful rehabilitation. Leading the list of services provided was diagnosis and evaluation (94 percent of those rehabilitated), followed by training (53 percent), restorative services (40 percent), and job placement (35 percent). All rehabilitated persons also received counseling and guidance services.

Program Administration

Services are delivered by 81 rehabilitation agencies in the United States, Puerto Rico, and outlying territories. Some States have separate agencies for individuals who are blind and visually impaired. Federal funds are distributed by formula. The State matching share is 20 percent of the amount allotted to the State in 1988. Beginning in FY 1989, any increased amount a State receives above its 1988 allotment is matched at an additional 1 percentage point per year for five years. In FY 1991, 35 States and the District of Columbia exceeded this match requirement, with Alaska, the District of Columbia and West Virginia providing more than twice the required minimum.

Outcomes

During FY 1991, about 202,831 clients were rehabilitated for an overall rehabilitation rate of 59.9 percent. Of all rehabilitations in FY 1989, 82 percent involved successful placements into competitive employment. Average weekly earnings at closure for all those rehabilitated in FY 1989 (including those in homemaking occupations with no earnings) showed an increase of $151 over average earnings at the time of the client's initial application for program services.

On the evidence of recent program data, severity of handicap is not a significant factor in predicting successful rehabilitation. In recent years, the overall rehabilitation rate for non-severe cases has been about 2 percentage points higher (e.g., 61.4 percent versus 59.2 percent in 1991), but an analysis of a large national sample of 1985 closures shows that this difference disappears when statistical controls for types of primary disability are introduced (III.3). There is a disparity, however, in placements of severely and non-severely disabled persons into competitive employment. In FY 1989, State agencies placed 77.9 percent of severely disabled persons into competitive employment, compared to 91.9 percent of the non-severely disabled. Placements into sheltered workshops were 7.9 percent and 1.2 percent, respectively.

The best evidence on the implications of successful rehabilitation for earnings comes from the Rehabilitation Services Administration-Social Security Administration (SSA) Data Link Project. The latest analysis compared pre- and post-closure earnings (up to the maximum covered by SSA) for a national sample of cases closed in FY 1975. Expressed in constant 1988 dollars, those successfully rehabilitated registered increased annual earnings in four successive years following closure (i.e., 1975 to 1979), and although those not rehabilitated exhibited a similar pattern of growth in earnings, their annual earnings were substantially lower in each of these post-closure years. However, in years five through nine following closure, earnings of both groups steadily declined. By year nine, earnings had fallen below 1975 earnings, but were still substantially higher than pre-referral earnings. Related to the earnings decline is a decline in the percent of successful rehabilitants who had paid employment during the year. From 1975 to 1983, the percent employed at any time during the year fell from 82 to 58 percent.

III. SOURCES OF INFORMATION

1. Disability, Functional Limitation, and Health Insurance Coverage: 1984/1985 (Washington, DC: Bureau of the Census, 1986).

2. Annual Report of the Rehabilitation Service Administration for FY 1990 (Washington, DC: U.S. Department of Education, October 1991).

3. Analysis of Program Trends and Performance in the Federal-State Vocational Rehabilitation Program (Berkeley, California: Berkeley Planning Associates, 1989).

4. The Economic Benefits of the Vocational Rehabilitation Program (Berkeley, California: Berkeley Planning Associates, 1989).

IV. PLANNED STUDIES

Evaluation of Quality Assurance (QA) Systems in State Vocational Rehabilitation Agencies will describe (1) the scope of existing quality assurance systems and sub-systems and develop standards for their use; (2) nominate exemplary QA systems and sub-systems; and (3) develop a QA manual that provides guidance to State vocational rehabilitation agencies and to RSA.

Traumatic Brain Injury Best Practice Study will provide an overall assessment of State vocational rehabilitation agency programming and services delivery for individuals with traumatic brain injury, with focus on effective practices and model programs and coordination with other agencies/organizations in the delivery of rehabilitation services.

Evaluation of Procedures to Recruit and Retain Qualified Field Service Delivery Personnel in the State-Federal Rehabilitation Program will (1) identify factors that facilitate or impede the recruitment and retention of qualified field service delivery personnel by State vocational rehabilitation agencies, including the effects of post-employment training; (2) document cases of exemplary practices of field service delivery personnel with respect to recruitment and retention; (3) identify the level of information that selected pre-service training programs have on their recent graduates, including whether graduates are taking jobs in State vocational rehabilitation agencies; and (4) identify the representation of individuals with handicaps or minority groups in the pre-service training program student population, and identify factors that contribute to achieving adequate representation of individuals with handicaps or minority groups in field service delivery positions in State vocational rehabilitation agencies.

Assessment of Client Information Systems will examine and compare the analytic and practical utility of a range of proposed enhancements of existing client information systems.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Mark Shoob, (202) 205-9406

Program Studies : Rob Barnes, (202) 732-3630

CLIENT ASSISTANCE PROGRAM (CAP)
(CFDA No. 84.161)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, Section 112, as amended by P.L. 102-52 (29 U.S.C. 732) (expires September 30, 1992).

Purpose: To establish and implement assistance programs to inform and advise all clients and client applicants of all available benefits under the Rehabilitation Act and to help any who request assistance in their relationships with projects, programs, and facilities providing services to them under the Act, including assistance to clients or applicants in pursuing legal, administrative, or other appropriate remedies to ensure the protection of their rights under the Act. The program also can provide information to the public about the Client Assistance Program (CAP) and information on the available services under the Rehabilitation Act to any person with disabilities in the State.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1983	$1,734,000	1988	$ 7,500,000
1984	6,000,000	1989	7,775,000
1985	6,300,000	1990	7,901,000
1986	6,412,000	1991	8,310,000
1987	7,100,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Client Assistance Program supports Goal 5 by helping ensure that individuals with disabilities exercise the rights and responsibilities of citizenship.

Population Targeting

In FY 1991, there were 57 grantees, covering all the States and the territories eligible for funding.

Services

Services that may be provided under the Client Assistance Program are information and referral, and assistance in pursuing legal, administrative, and other available remedies when necessary to ensure the protection of a client's or a client applicant's rights under the

Rehabilitation Act. The CAP may also provide the cost of travel for a client, client applicant, or attendant in connection with the provision of assistance under this program.

In FY 1987, 44,711 persons were served. Of those, 31,133 received information and referral services and 13,578 received more extensive services. In FY 1988, 47,404 individuals were served. Of this total, 34,721 made requests for information and referrals and 12,683 received more extensive services. In FY 1989, 50,333 persons were served. Of those, 38,325 received information or referral services and 12,008 received more extensive services. In FY 1990, 53,044 individuals were served. Of this total, 41,302 made requests for information and referrals and 11,742 received more extensive services. In FY 1991, 51,370 persons were served. Of those, 39,866 received information and referral services and 11,504 received more extensive services.

Program Administration

In the State's application for a grant under this program, the Governor designates a public or private agency in the State to conduct the State's Client Assistance Program. The designated agency must be independent of any agency providing treatment, services, or rehabilitation to individuals under the Rehabilitation Act unless, prior to February 22, 1984, there was an agency in the State that directly carried out a Client Assistance program under Section 112 and was, at the same time, a grantee under Section 112 or any other section of the Rehabilitation Act.

Management Improvement Strategies

The Rehabilitation Services Administration (RSA) has developed uniform program monitoring instruments for use by RSA in evaluating performance and activities of the CAP designated agencies. The first instrument is an interview guide used to determine the degree of compliance of the CAP agent with the Governor's assurances. The second instrument, a case review guide, is used to determine eligibility of persons receiving services and whether the service provided is authorized under the CAP. One-third of the CAPs will be monitored each year, and problem areas will be identified so that corrective action and technical assistance can be targeted appropriately.

III. SOURCES OF INFORMATION

1. Evaluation of the Client Assistance Program (Rockville, MD: Professional Management Associates, Inc., September 1986).

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Mark Shoob, (202) 732-1406

Program Studies : Sandra Furey, (202) 401-3630

DISCRETIONARY PROJECT GRANTS FOR TRAINING REHABILITATION PERSONNEL

(CFDA Nos. 84.129, 84.160, and 84.246)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 102-52, Title III, Part A, Section 304(a), (29 U.S.C. 774) (expires September 30, 1992).

Purpose: To support projects to increase the number and improve the skills of personnel trained to provide vocational rehabilitation services to handicapped people.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$24,800,000	1985	22,000,000
1970	27,700,000	1986	25,838,000
1975	22,200,000	1987	29,550,000
1980	28,500,000	1988	30,000,000
1981	21,675,000	1989	30,500,000
1982	19,200,000	1990	31,110,000
1983	19,200,000	1991	33,353,000
1984	22,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program is designed to increase the numbers and skills of rehabilitation personnel. By providing improved services to individuals with disabilities, it contributes to Goal 5 by helping those individuals exercise more fully the rights and responsibility of citzenship.

Population Targeting

The Rehabilitation Act of 1973 requires that Rehabilitation Training funds be targeted to areas of personnel shortages. The Department developed priorities for the allocation of training funds based on a National Survey of Personnel Shortages and Training Needs. Specialties which were determined to most affect service to clients with severe disabilities included rehabilitation counseling; rehabilitation of the blind, deaf, and mentally ill; job development; supported employment; and vocational evaluation and work adjustment (III.1).

Services

The program supports training, scholarships, and related activities in a broad range of rehabilitation disciplines and areas of professional practice, including long-term training, training of interpreters, experimental and innovative training, continuing education, short-term training, and inservice training. Grants and contracts are awarded to States and public or nonprofit agencies and organizations, including institutions of higher education, to pay all or part of the cost of conducting training programs.

Type of Training	Estimated Number of Trainees	Total Grant Awards	Avg. Federal Cost per Trainee
Long-term	1,427	$21,830,882	$15,298
Experimental and Innovative	86	1,160,883	13,499
Continuing Education	13,461	4,444,232	330
Inservice	8,950	3,773,431	422
Short-term	264	379,253	1,436
Total	24,188	$31,588,681[1]	$30,985

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[1] Figures do not include costs for interpreter training, peer review expenses, and certain other costs. Long-term training figures include postsecondary training but exclude short-term training.

Management Improvement Strategies

Towards setting rehabilitation training priorities, RSA, through an outside contractor, developed an assessment survey instrument to collect data on personnel shortages and training needs. This survey was conducted in FY 1987, and FY 1989. The results were used to establish funding priorities in 1987 through 1992. RSA plans to repeat the survey at regular intervals to ensure that funding priorities and justifications are based on current data. The next study is under way and planned for completion in 1992.

III. SOURCES OF INFORMATION

1. National Assessment of Personnel Shortages and Training Needs in Vocational Rehabilitation (Washington, DC: Pelavin Associates, July 1989).
2. National Assessment of Personnel Shortages and Training Needs in Vocational Rehabilitation (Washington, DC: Pelavin Associates, June 1987).
3. Program Files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Richard P. Melia, (202) 205-9400

Program Studies : Rob Barnes, (202) 401-0325

SPECIAL PROJECTS AND DEMONSTRATIONS FOR PROVIDING VOCATIONAL REHABILITATION SERVICES TO INDIVIDUALS WITH SEVERE HANDICAPS
(CFDA No. 84.235)

I. PROGRAM PROFILE

Legislation: The Rehabilitation Act of 1973, P.L. 93-112, Title III, Part B, Section 311 (a)(1), as amended by P.L. 102-52 (29 U.S.C. 777(a)(1))(expires September 30, 1992).

Purpose: To provide financial assistance to projects for expanding or otherwise improving vocational rehabilitation services and other rehabilitation services for individuals with severe handicaps.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$1,000,000	1985	$14,635,000 1/
1975	1,295,000	1986	19,332,000 2/
1980	9,568,000	1987	15,860,000 3/
1981	9,765,000	1988	16,590,000 4/
1982	8,846,000	1989	17,200,000 4/
1983	9,259,000	1990	32,269,000 5/
1984	11,235,000 1/	1991	18,368,000 6/

1/ Includes funding for the Spinal Cord Injury program administered by the National Institute on Disability and Rehabilitation Research (NIDRR).

2/ Includes $5,000,000 for the Spinal Cord Injury program, $718,000 for the South Carolina Comprehensive Rehabilitation Center, and $4,785,000 for the Oregon Hearing Institute.

3/ Includes $5,000,000 for the Spinal Cord Injury program, and $450,000 for Model Statewide Transitional Planning Services for Severely Handicapped Youth Projects.

4/ Includes $5,000,000 for the Spinal Cord Injury program, and $475,000 for Model Transition projects.

5/ Includes $5,000,000 for the Spinal Cord Injury program, and $14,814,000 earmarked to establish Comprehensive Head Injury Centers.

6/ Includes $5,000,000 for the Spinal Cord Injury program administered by the National Institute on Disability and Rehabilitation Research (NIDRR).

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The role of the program is to support projects which help individuals with severe handicaps achieve satisfactory vocational outcomes. As such, it furthers Goal 5 by helping these individuals gain the ability to compete in a global economy and exercise the rights and responsibilities of citizenship.

Population Targeting

Priority was given to the support of projects that would provide services to special disability populations for whom there was an identified need to improve and expand rehabilitation service delivery.

Services

In FY 1991, 97 continuation projects and 9 new projects were funded, including continuations of 13 spinal cord injury projects administered by the National Institute on Disability and Rehabilitation Research (NIDRR), and 2 projects serving "Deaf and Hard of Hearing People Who Are Low-Functioning." Continuation projects currently funded by the program address the following priority categories: (1) Rehabilitation Technology; (2) Innovative Strategies to Promote Vocational and Indpendent Living Rehabilitation Outcomes for Individuals with Severe Handicaps; and, (3) AIDS (invitational priority). Applications were also funded under the program in a "non-priority" category that permitted the support of applications that were not responsive to one of the absolute priorities. Recently funded new projects propose to serve "Individuals with Specific Learning Disabilities" (4 projects) and "Individuals with Long-term Mental Illness" (4 projects).

Management Improvement Strategies

An evaluation of the Special Projects and Demonstrations program was completed in 1988 (III.1). The Rehabilitation Services Administration (RSA), through an outside contractor, evaluated the Title III, Part B Special Projects to identify overall trends and results. Evaluation results indicated that almost one-half of the clients did improve their employment status through participation in a special project.

Recommendations to RSA included the establishment of: a systematic uniform reporting procedure; a directory with project information that can be nationally disseminated; ongoing relationships between special projects and the State Vocational Rehabilitation agencies; project evaluation standards; and a monitoring process to ensure that project evaluation standards are being followed. In addition, it was recommended that State Vocational Rehabilitation agencies should become involved in the planning of the project, along with the dissemination of project techniques and innovation. Work has begun on all recommendations. For example, a project catalogue was due in FY 1992, and a standard monitoring instrument was scheduled for pilot testing in early FY 1992.

III. SOURCES OF INFORMATION

1. Evaluation of Special Rehabilitation Projects and Demonstrations for Severely Disabled Individuals: Final Report (Winchester, MA: Harold Russell Associates, Inc., February 1987).

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Richard P. Melia, (202) 205-9400

Program Studies : Lenore Garcia, (202) 401-3630

SUPPORTED EMPLOYMENT PROJECTS FOR INDIVIDUALS WITH SEVERE HANDICAPS
(CFDA. No. 84.128)

I. PROGRAM PROFILE

Legislation: The Rehabilitation Act of 1973, P.L. 93-112 Title III, Part B, section 311 (d), as amended by P.L. 102-52 (29 U.S.C. 777a (d)) (expires September 30, 1992).

Purpose: To support grants for special projects and demonstrations to expand or otherwise improve the provision of supported employment services to individuals with severe handicaps. Discretionary grants provide funding for statewide systems change, community-based and technical assistance projects. Supported employment is paid work at integrated work sites, especially designed for severely disabled persons for whom competitive employment would have been unlikely. These individuals, because of their disabilities, need intensive ongoing support in order to perform in a work setting. Awards are made on a competitive basis to public and nonprofit rehabilitation facilities, designated State units, and public or private organizations.

Funding History

Fiscal Year	Appropriation
1985	4,360,000 1/
1986	8,613,000 1/
1987	9,000,000
1988	9,520,000
1989	9,520,000
1990	9,876,000
1991	10,023,000

1/ Funds were provided under the authority of Title III, Part B, section 311(a)(1), Special Demonstration Program.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The role of the program is to support projects which help individuals with severe handicaps achieve competitive supported employment. As such, it furthers Goal 5 by helping these individuals gain the ability to compete in a global economy and exercise the rights and responsibilities of citizenship.

Population Targeting

Supported employment projects assist individuals with severe handicaps, for whom competitive employment would have been unlikely, to acquire the skills and experience needed to achieve and maintain employment in the community. Priority was given to the support of projects that would provide services to special disability populations for whom there was an identified need to improve and expand rehabilitation service delivery.

Services

Statewide systems-change demonstration projects stimulate the development and provision of supported employment services on a statewide basis. These projects cannot use their Federal funding for the direct provision of client services. Community-based projects stimulate the development of innovative approaches for improving and expanding supported employment services as well as to enhance local capacity to provide these services. These projects can use their Federal funding for the direct provision of client services. Authorized direct services under community-based supported employment projects include job search assistance, job development, on-the-job training, job placement, rehabilitation engineering, and time-limited post-employment services. Technical assistance projects help States to implement the State Supported Employment Services Program authorized by Title VI, Part C.

Management Improvement Strategies

In FY 1991, 17 new statewide demonstrations were initiated to further the development of supported employment. A total of 38 States have received systems-change grants. A National Institute on Disability and Rehabilitation Research-funded study surveyed all 50 States and the District of Columbia on supported employment participation (III.2). The study reported that of the 32,342 individuals in supported employment in FY 1988, approximately 77 percent were served by the 27 States which had received their systems-change grants in 1985 and 1986. Examination of the final reports on the first 10 Statewide system-change projects that terminated in FY 1990 revealed that systems-changes have occurred in all 10 of the States (III.1). The Department funded two projects of national scope in FY 1987, 12 three-year community-based service projects in FY 1989, and two National Technical Assistance projects in FY 1990.

III. SOURCES OF INFORMATION

1. The Annual Report to Congress for Fiscal Year 1990 on Supported Employment Activities under Section 311(d) of the Rehabilitation Act (Washington, DC: U.S. Department of Education, Rehabilitation Services Administration, September 1991).

2. A National Analysis of Supported Employment Growth and Implementation. (Richmond, VA: Virginia Commonwealth University, 1990).

3. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: Fred Isbister, (202) 205-9297
Program Studies	: Lenore Garcia, (202) 401-3630

PROJECTS FOR INITIATING SPECIAL RECREATION PROGRAMS FOR INDIVIDUALS WITH HANDICAPS
(CDFA No. 84.128)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, Title III, Section 316, P.L. 93-112, as amended by P.L. 102-52 (29 U.S.C. 711(c) and 777(f)) (expires September 30, 1992).

Purpose: To initiate special programs of recreational activities for individuals with handicaps in order to increase their mobility, socialization, independence, and community integration.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	$1,884,000	1987	$2,330,000
1983	2,000,000	1988	2,470,000
1984	2,000,000	1989	2,620,000
1985	2,100,000	1990	2,588,000
1986	2,105,000	1991	2,617,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program addresses Goal 5, by increasing the ability of recipients of services to function successfully and independently as individuals and citizens.

Population Targeting

The 28 projects initiated in FY 1990 and to be continued through FY 1992 serve an estimated 20,000 persons with disabilities in 18 States.

settings. Projects also promote independence, socialization, and increased mobility. These projects include activities such as scouting, camping, music, dance, handicrafts, art, physical education, and sports. These projects are primarily conducted at the local and community level by local governments, nonprofit organizations, and colleges and universities.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Edward A. Hofler, (202) 205-9432

Program Studies : Lenore Garcia, (202) 401-3630

VOCATIONAL REHABILITATION SERVICE PROJECTS PROGRAM FOR MIGRATORY AGRICULTURAL AND SEASONAL FARM WORKERS WITH HANDICAPS
(CFDA No. 84.128)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, Section 312, P.L. 93-112, as amended by P.L. 102-52 (29 U.S.C. 711c and 777b) (expires September 30, 1992).

Purpose: To provide vocational rehabilitation services to migratory and seasonal farm workers (MSFWs) with disabilities and other services to members of their families.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$ 530,000	1986	$ 957,000
1980	1,530,000	1987	1,058,000
1981	1,325,000	1988	1,100,000
1982	951,000	1989	1,100,000
1983	951,000	1990	1,086,000
1984	950,000	1991	1,060,000
1985	950,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

In funding vocational rehabilitation projects for migratory and seasonal farm workers with disabilities, this program supports Goal 5, by providing necessary skills to individuals so that they may compete effectively and achieve satisfactory vocational outcomes.

Population Targeting

There are at least 280,000 disabled migratory and seasonal farm workers in the labor force, and another 60,000 family members with disabilities nationwide (III.1).

Farm workers with disabilities served by the projects are very poor. The average family income of MSFWs with disabilities served in FY 1987 was $2,316 (III.1). Only 30 percent of the Hispanic farm workers regularly spoke English. Seventy-five percent of farm workers over 40 years of age have only a primary school education.

Almost one-third of MSFW disabilities are work-related; 21 percent of the farm workers with disabilities interviewed were disabled as a result of a work accident. Another 11 percent of those interviewed reported that their disability stemmed from a work-related illness.

Eleven funded projects are located in 10 of the 23 States with the highest numbers of migratory and seasonal farmworkers. Projects do not always cover all parts of the State with large MSFW populations.

Services

Approximately 2,500 migratory and seasonal farm workers with disabilities are served annually and about 400 are rehabilitated. The 11 service projects funded each year provide a variety of rehabilitation services to the MSFW population.

Comprehensive rehabilitation services and culturally relevant counseling are provided by the staff of these projects. Specific services include outreach and diagnostic services, vocational assessment, plan development, physical restoration services, vocational training, and placement and post-placement services. The primary service provided was physical restoration. Many of the vocational programs also included remedial education and English as a Second Language because lack of education and language skills prevent many older MSFWs with disabilities from successfully participating in the training courses that are available.

Program Administration

Programs are administered by the directors of the State vocational rehabilitation agencies, which are the only eligible applicants for these grants.

Outcomes

A 1987 Department of Education Study (III.1) examined quality of services provided, participant outcomes, and interagency coordination. Clients were generally satisfied with services. They reported that the most important benefits were the receipt of medical services and counseling.

Management Improvement Strategies

Rehabilitation Services Administration plans to conduct teleconference workshops for Migrant Project Directors in Washington, D.C., in 1992, as recommended by the 1987 study on vocational rehabilitation of migrant and seasonal farmworkers (III.1) which suggests annual meetings. The study is used as a basis for conducting the workshops and improving the program at all levels.

III. SOURCES OF INFORMATION

1. Evaluation of the Migrant and Seasonal Farm Workers' Vocational Rehabilitation Service Projects (San Francisco, CA: E.H. White and Company, September 1987).

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Edward A. Hofler, (202) 205-9432

Program Studies : Sandra Furey, (202) 401-3630

HELEN KELLER NATIONAL CENTER (HKNC) FOR DEAF-BLIND YOUTHS AND ADULTS
(CFDA No. 84. 128)

I. PROGRAM PROFILE

Legislation: The Helen Keller National Center Act, as amended by P.L. 99-506, (29 U.S.C. 1901-1906) (expires September 30, 1992).

Purpose: To provide rehabilitation and training services, to train professional personnel, and to conduct applied research on training methods and curriculum at the national center or anywhere in the United States to enable persons who are deaf-blind to reach their full potential.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1972	$600,000	1985	$4,200,000
1975	2,000,000	1986	4,115,000
1980	2,500,000	1987	4,600,000
1981	3,200,000	1988	4,800,000
1982	3,137,000	1989	4,900,000
1983	3,500,000	1990	4,938,000
1984	4,000,000	1991	5,367,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program helps deaf-blind individuals acquire skills necessary for functioning independently in the community at large. Thus, it furthers Goal 5 by making it possible for these individuals to exercise the rights and responsibilities of citizenship.

Population Targeting

Services are targeted exclusively on individuals who are deaf-blind. There are an estimated 41,000 in this country.

Services

In FY 1991, the Helen Keller National Center for Deaf Blind Youths and Adults (HKNC) served 64 clients at its residential facility and provided referral and counseling to another 1,616 persons who are deaf-blind in their own States and communities through 10 regional offices. Agencies affiliated with HKNC served 2,656 persons who are deaf-blind. In addition, 340 persons participated in training seminars in the headquarters facility, and conferences were conducted throughout the Nation for a total of 2,040 participants. The Center hosted 260 American and 80 international professionals at its headquarters during the July 1, 1990 - June 30, 1991 program period.

Outcomes

Of the 64 persons receiving training at the National Center, 34 completed their training by June 30, 1991, with 16 being placed in employment settings and 22 placed in residential programs. Comparable information for the clients who were served through regional field services and affiliated agencies for the 1991 program year is not presently available.

Management Improvement Strategies

In the July 1, 1990 - June 30, 1991 program period, HKNC established the Supported Home Environment for Life-Long Learning program (SHELL) which trains severely multihandicapped deaf-blind persons for improved self-care and independent living in the concrete setting of a residence. The National Center also initiated the Personal Futures Planning program (PFP) whereby HKNC staff, family and advocates assist the individual client to develop, plan and make decisions concerning the individual's goals for life in the community and workplace, and validated the Helen Keller Functional Profile (HKFP) which enabled professionals to identify the functional level of a client and develop an appropriate training program to enhance the client's skills.

III. SOURCES OF INFORMATION

1. Program 1991 Annual Report of the Helen Keller National Center.

2. Evaluation of the Helen Keller National Center for Deaf-Blind Youths and Adults (Washington, DC: Associate Control, Research and Analysis Inc., August 1988).

IV. PLANNED STUDIES

The HKNC Act requires that the Secretary of Education annually evaluate the HKNC's activities. The Center uses special evaluation instruments developed under contract to the Department to help prepare the report the Secretary annually transmits to the President and Congress.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Chet Avery, (202) 205-9316
Program Studies	:	Rob Barnes, (202) 401-3630

PROJECTS WITH INDUSTRY PROGRAM (PWI)
(CFDA No. 84.234)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, Title VI, Part B, Section 621, as amended by P.L. 99-506 (29 U.S.C. 711 (c) and 795g), and P.L. 102-52 (expires September 30, 1992).

Purpose: This is a Federal government/private industry partnership initiative in which corporations, labor organizations, trade associations, foundations, State vocational rehabilitation agencies, and volunteer agencies work with the rehabilitation community in order to (1) create and expand job opportunities in the competitive labor market; (2) provide job training in realistic work settings; and (3) provide support services to enhance the pre- and post-employment success of individuals with handicaps.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$900,000	1985	$14,400,000
1975	1,000,000	1986	14,547,000
1980	5,500,000	1987	16,070,000
1981	5,250,000	1988	17,000,000
1982	7,510,000	1989	17,350,000
1983	13,000,000	1990	18,765,000
1984	13,000,000	1991	19,445,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The role of this program is to expand job opportunities for individuals with handicaps. As such, it furthers Goal 5 by enhancing the pre- and post-employment success of individuals with handicaps, thus allowing them to compete in the global economy and exercise the rights and responsibilities of citizenship.

Performance Indicators

This program is unique within the Department of Education in having formally prescribed standards and related performance indicators for evaluating grantees and determining eligibility for continuation awards. Projects are given points based on the proportion of their clients with severe disabilities, with a prior history of unemployment, the project's cost per successful job placement, actual costs compared to projected costs, overall placement rate, actual placements compared to projected placements, gain in client earnings, and proportion of successful placements of persons with severe disabilities or prior history of unemployment. (For a full description, see 34 CFR Part 379, Subpart F).

Services

Services available to disabled clients vary from project to project depending on the population served and type of project. Services generally include intake and evaluation, prevocational counseling, training to enhance job-seeking skills, vocational training, job development, and job placement. Services to employers could include job-site modification, equipment modification, and employee recruitment.

Nearly 5,000 business persons and rehabilitation professionals donate time to Projects With Industry (PWI) by serving on project advisory committees. Approximately 24,000 people were served by the 125 projects operating in FY 1991

Program Administration

Each project is required by law to have a Business Advisory Council (BAC) composed of representatives from private industry, business, and organized labor. Each BAC is to become involved in the management of the project by identifying job availability in the community, identifying the skills necessary to fill the identified jobs, and developing and/or initiating training programs tailored to their need. Projects can be funded for up to five years if they achieve a satisfactory composite score on nine performance indicators.

Outcomes

A 1985 study (III.2) reported the following findings:

- Many PWI clients are making the transition to stable, competitive employment, indicating general PWI program success.
- The relatively low cost per PWI placement indicates that goals are being met efficiently.

Management Improvement Strategies

The FY 1986 amendments to the Rehabilitation Act required improved distribution of PWI projects, development of indicators for program and project assessment, and technical assistance to PWI projects and potential grantees. Mandated site visits began in FY 1989 and will continue through FY 1992. One-third of the 36 PWI projects funded in 1987 were site-visited from FY 1989 through 1991; 15 site visits to PWI projects were conducted in FY 1991.

In accordance with the 1986 Amendments to the Rehabilitation Act, indicators have been developed to determine the extent that each grantee is in compliance with the evaluation standards previously developed for this program. After initial pretesting and public comment, the final regulations were published in the August 31, 1989 Federal Register. The indicators were first used in FY 1990 when 2 of the 114 projects seeking continuation funding failed to achieve the prescribed minimum of 70 points on the 9 performance indicators. In FY 1991, a major competition was held to recompete 91 percent of the available funding. A total of 100 projects were funded, including 21 first-time projects. The indicators will be used to make decisions about continuation funding for FY 1992 for an anticipated 13 projects seeking third-year continuation funding.

III. SOURCES OF INFORMATION

1. Assessment of the Projects with Industry Program (Washington, DC: Advanced Technology, Inc., April 1983).
2. Evaluation of the Projects with Industry (PWI) Program (Washington, DC: Policy Studies Associates, Inc., January 1986).
3. Compliance Indicators for Projects with Industry Program.
4. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Thomas Finch, (202) 205-9796

Program Studies : Rob Barnes, (202) 401-3630

CENTERS FOR INDEPENDENT LIVING (CIL)
(CFDA No. 84.132)

I. PROGRAM PROFILE

Legislation: Section 711 of the Rehabilitation Act of 1973, P.L. 93-112, as amended (29 U.S.C. 796e) (expires September 30, 1992).

Purpose: To plan, establish, and assist in the operation of Centers for Independent Living (CILs) that provide independent living services to persons with severe disabilities to help them function more independently in family and community settings or to secure and maintain appropriate employment.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1979	$2,000,000	1986	$22,011,000
1980	15,000,000	1987	24,320,000
1981	18,000,000	1988	25,500,000
1982	17,280,000	1989	26,000,000
1983	19,400,000	1990	26,666,000
1984	19,400,000	1991	27,579,000
1985	22,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The role of this program is to establish and operate Independent Living Services for individuals with severe disabilities. As such, it furthers Goal 5 by helping these individuals function independently in community settings and exercise their rights and responsibilities of citizenship.

Performance Indicators

Performance standards and indicators have been proposed for this program. Upon completion of the rule-making process, these standards are expected to govern decisions about continuation awards commencing in FY 1993.

Population Targeting

Centers for Independent Living provide diverse services to persons with a variety of severe disabilities. More than 80,000 persons with disabilities have been served by (CILs) funded under this authority since 1979. If CILs are not serving only individuals with severe disabilities with Title VII funds, they are not in compliance with the law.

In FY 1991, 144 continuation grants were awarded through 97 grantees for the operation of 202 CILs, including 10 branches or satellites.

Services

Centers for Independent Living devote a significant amount of their resources to advocacy, peer counseling, and training to develop independent living skills. The array of additional services available from centers includes personal care attendant training and management, housing modification, technical assistance to create accessible community programs, interpreter services and sign language classes, transitional programs for high school students with severe disabilities, and social skill and job readiness training. CILs are providing services in response to community needs of consumers with severe disabilities who are homeless. The CILs teach medical and nursing students about the independent living movement to enhance the quality of medical care and eliminate bias in the medical profession. They are also developing cooperative home ownership opportunities among persons with severe disabilities, and serving as plaintiffs in litigation to gain accessible transportation and housing.

Program Administration

All centers are required to have a governing board comprised of a majority of persons with disabilities. This is a condition for receipt of Part B funds. All projects are monitored to ensure project compliance with this requirement.

Management Improvement Strategies

The 1986 Amendments required that indicators of minimum compliance be developed pursuant to the evaluation standards developed for Centers for Independent Living. Independent Living Indicators have been proposed and, following clearance from the Office of Management and Budget, will be published in the Federal Register for public comment. Beginning in FY 1992, and continuing through FY 1993, site visits will be conducted at 15 percent of the grantees. The evaluation standards, continuing grant applications, and proposed compliance indicators will be used to evaluate the performance of individual centers.

III. SOURCES OF INFORMATION

1. Comprehensive Evaluation of the Title VII, Part B of the Rehabilitation Act of 1973 (as amended), Centers for Independent Living Program (Berkeley, CA: Berkeley Planning Associates, May 1986).

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Victor Galloway, (202) 205-9152 TDD/205-8352
Program Studies	:	Rob Barnes, (202) 401-3630

VOCATIONAL REHABILITATION SERVICES FOR HANDICAPPED AMERICAN INDIANS
(CFDA No. 84.128)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 102-52, Title I, Section 130 (29 U.S.C. 711(c) and 750) (expires September 30, 1992).

Purpose: The purpose of this program is to support projects that provide vocational rehabilitation services to handicapped American Indians who live on Federal or State reservations.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1981	$ 650,000	1987	3,202,500
1982	624,000	1988	3,448,750
1983	650,000	1989	3,625,750
1984	715,000	1990	3,821,000
1985	1,430,000	1991	4,082,000
1986	1,340,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Improving the lives of American Indians with disabilities means increasing their ability to function independently. This contributes to Goal 5 by making it possible for more individuals to exercise the rights and responsibilities of citizenship.

Population Targeting

In FY 1991, 15 Vocational Rehabilitation Service projects for handicapped American Indians (of which 11 were continuations and 3 were new) were funded. These three-year projects are directed by the tribes that received grants from the Rehabilitation Services Administration (RSA). The tribes serve Indians who live on

Federal or State reservations and are expected to provide services similar to those provided under the Vocational Rehabilitation State Grant program.

Services

The Vocational Rehabilitation Service projects for handicapped American Indians provide comprehensive rehabilitation services, including diagnostic services, vocational assessment, plan development, restoration, vocational training, placement, and postemployment support. Individual projects also conduct outreach activities designed to acquaint potential clients with the range of services available. Approximately 3,350 disabled American Indians were served with FY 1991 funds.

Program Administration

RSA provides grant funds to projects and also monitors the projects. The governing bodies of the tribes provide rehabilitation services directly or contract for delivery of services. Under the basic support program, State vocational rehabilitation agencies also provide vocational rehabilitation services to American Indians in the same manner as to all other clients. The agencies are required to submit a rehabilitation plan that includes addressing the rehabilitation needs of American Indians to RSA Regional Offices for approval.

Management Improvement Strategies

States are required to address the rehabilitation needs of American Indians in their State plans. RSA regional staff are able to utilize this information to improve the delivery of rehabilitation services to American Indians, working together with tribal groups and State and local agencies.

In the past, many of the applications received under the Indian program have been of poor quality. The Department has been making efforts to improve the quality of applications received for this program, such as sending copies of individual peer reviewer's evaluations and the panel summary to unsuccessful grantees and providing technical assistance to prospective applicants. In addition, certain tribes have been collaborating with State VR agencies in the development of applications. The steps taken to improve the quality of applications submitted for funding consideration had a positive impact on the quality of applications received for FY 1991 competition.

III. SOURCES OF INFORMATION

1. Study of the Special Problems and Needs of American Indians with Handicaps Both On and Off the Reservation (Flagstaff, AZ: Native American Research and Training Center, Northern Arizona University, November 1987).

2. Service, Research and Training Needs of American Indian Vocational Rehabilitation Indian Rehabilitation Projects (Flagstaff, AZ: American Research and Training Center, Northern Arizona University, November 1989).

3. Follow-up on the Effectivness of Tribally Operated Vocational Rehabilitation Projects (Flagstaff, AZ: American Indian Rehabilitation Research and Training Center, Northern Arizona University, 1991).

4. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Edward A. Hofler, (202) 205-9432

Program Studies : Rob Barnes, (202) 401-3630

INDEPENDENT LIVING SERVICES FOR OLDER BLIND INDIVIDUALS
(CFDA No. 84.177)

I. PROGRAM PROFILE

Legislation: Section 721 of the Rehabilitation Act of 1973, P.L. 93-112, as amended by Section 721 of P.L. 99-506 (29 U.S.C. 796f) (expires September 30, 1992).

Purpose: To provide independent living services for blind persons age 55 years or older, to correct their blindness or visual impairment, or to help them adjust to blindness so that they may live more independently in their homes and communities.

Funding History

Fiscal Year	Appropriation
1986	$4,785,000
1987	5,290,000
1988	5,600,000
1989	5,700,000
1990	5,829,000
1991	6,505,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Blind or severely visually impaired individuals age 55 or older whose blindness or severe visual impairment makes gainful employment extremely difficult and who are in need of independent living skills to prevent institutionalization or enhance their capability to live independently within the community or family.

Services

Independent living services for older blind persons include any services that will assist such persons, as defined in Section 721(d) of the Rehabilitation Act, to correct blindness or visual impairment, or to adjust to blindness by becoming more able to care for individual needs. These include visual screening, therapeutic treatment, outreach, eyeglasses, other vision aids, guide services, transportation, orientation and mobility services, reader services, Braille instruction, and other services to promote independent functioning in the home and community. In addition to these statutory services, the program also provides information and referral, housing relocation, peer counseling, and adaptive skills training. In fiscal year 1991, approximately 14,500 individuals received one or more services through this program.

Program Administration

The State unit designated to provide rehabilitation services to persons who are blind, is the eligible agency under this program. Each designated State unit may either directly provide independent living services under this program or make subgrants to other public agencies or private, nonprofit organizations to provide these services.

This program was authorized by the 1978 Amendments to the Rehabilitation Act, but was not fuunded until 1986. The Rehabilitation Services Administration awarded 24 one-year grants in 1986; 26 one-year grants in 1987; and 28 three-year grants in 1988. A competition was held for 28 new three-year grants in 1991.

Management Improvement Strategies

Final regulations for this program were published in the Federal Register on July 15, 1988, and became effective September 16, 1988. The regulations provide that the only eligible applicant is the designated State unit authorized to provide rehabilitation services to blind persons. Selection criteria included in these regulations encourage applicants to include older blind persons in the planning of program activities.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operation	:	Ray Melhoff, (202) 205-9320
Program Studies	:	Barbara Vespucci, (202) 401-3630

COMPREHENSIVE SERVICES FOR INDEPENDENT LIVING
(CFDA No. 84.169)

I. PROGRAM PROFILE

Legislation: Section 701-706 of the Rehabilitation Act of 1973, P.L. 93-112, as amended (29 U.S.C. 796-796d-1) (expires September 30, 1992).

Purpose: The State Independent Living Rehabilitation Services program authorizes grants to designated State units, as defined in 34 CFR 361.1, to provide comprehensive services for independent living to persons whose disabilities are so severe that they do not presently have the potential for employment, but may benefit from vocational rehabilitation services that will enable them to live and function independently. The program may also serve individuals with severe disabilities who require independent living services to improve their ability to engage in or continue in employment.

Funding History

Fiscal Year	Appropriation
1985	$ 5,000,000
1986	10,527,000
1987	11,830,000
1988	12,310,000
1989	12,678,000
1990	12,938,000
1991	13,619,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program helps persons with severe disabilities to live or function more independently in the family or community or to engage or continue in employment. This program supports Goal 5 by enhancing the ability of such individuals to compete in the global economy and furthering their ability to exercise the rights and responsibilities of citizenship.

Population Targeting

In FY 1991, funds under this program were distributed to 79 State agencies, including both general vocational rehabilitation agencies and separate vocational rehabilitation agencies for persons who are blind. The total number of active cases for persons served under this program was estimated to be 18,223 for FY 1991. The major disability categories of persons served were orthopedic impairments, including spinal cord injuries and amputations (39.1 percent), and blindness and other visual impairments (34.2 percent). Other categories included hearing impairments, traumatic brain injury, and persons with multiple disabilities. Individuals with severe disabilities not served by other Rehabilitation Act programs are given priority for services under this program.

Services

Under Part A of Title VII of the Rehabilitation Act, the designated State unit may offer appropriate comprehensive services for independent living as specified under Section 702(b) and Title I of the Rehabilitation Act. Section 702(b) includes 16 broad categories of services. Counseling was the service most frequently provided. Other major service areas were advocacy and referral, daily living skills, and physical and mental restoration.

In its State Plan for Independent Living Rehabilitation Services, the designated State unit identifies those services it chooses to provide to persons with severe disabilities. The State Plan must also assure that the designated State unit conducts or has previously conducted studies of the independent living rehabilitation service needs of persons with severe disabilities within the State to plan for and improve future independent living services. Decisions regarding the services provided to a person with severe disabilities are based on an individualized written rehabilitation program developed jointly by the appropriate staff member and the person with severe disabilities.

Program Administration

The designated State unit administers the State's Independent Living Rehabilitation Services program. The State must use at least 20 percent of the funds provided through this program to make grants to local public agencies and private nonprofit organizations for the conduct of independent living services, unless the State submits sufficient evidence to show that it cannot feasibly grant 20 percent of the funds it receives to local public agencies and private nonprofit organizations. The Federal share of total program budget is limited to 90 percent.

Management Improvement Strategies

The Rehabilitation Services Administration (RSA) has developed a case review system for this program based on the established case review system used for the vocational rehabilitation program under Title I of the Rehabilitation Act. In 1990, RSA developed a State plan review guide for the purpose of monitoring State agency performance and State agency compliance with applicable laws and regulations. In addition, RSA revised the annual report instrument for this program to include data on the amount of non-Federal funds over the required 10 percent match; amount of Federal funds subgranted; number of subgrants awarded; number of subgrantee staff; reasons for closure; and time in active caseload.

III. SOURCES OF INFORMATION

1. State Plan for Independent Living Rehabilitation Services.

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Dora Teimouri, (202) 205-9497

Program Studies : Kimmon Richards, (202) 401-3630

SUPPORTED EMPLOYMENT STATE GRANTS PROGRAM FOR INDIVIDUALS WITH SEVERE HANDICAPS
(CFDA 84.187)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, Title VI, Part C, as amended by P.L. 102-52, Sections 631-638 (U.S.C. 795 j-q) (expires September 30, 1992).

Purpose: The State Supported Employment Services Program authorizes formula grants (supplementary to grants for vocational rehabilitation services under Title I) to help States develop collaborative programs with appropriate public agencies and private nonprofit organizations for training and traditionally time-limited post-employment services leading to supported employment for persons with severe handicaps.

Funding History

Fiscal Year	Appropriation
1987	$25,000,000
1988	25,935,000
1989	27,227,000
1990	27,630,000
1991	29,150,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program addresses Goal 5 by helping ensure that individuals with severe disabilities are able to acquire the knowledge and skills necessary for productive employment and citizenship.

Population Targeting

The State Supported Employment Services Program, administered through designated State units, provides services to individuals with severe handicaps to aid them toward the rehabilitation goal of supported employment. The purpose of the program is to help persons with severe disabilities who may have been thought to be too disabled to benefit from vocational rehabilitation to achieve competitive vocational outcomes.

Services

Services authorized under Title VI, Part C, are limited to training and time-limited post-employment services leading to supported employment. Extended services are provided by State agencies and private organizations as specified under Section 634 (b) (4), and other sources. Decisions regarding services to be provided to an individual with severe handicaps are based on an individualized written rehabilitation program developed for that person.

Outcomes

Supported employment data elements have been added to the Vocational Rehabilitation (VR) Case Services Report System to collect information from State VR agencies on 1990 closed cases. Current information on supported employment is available through a study conducted by Virginia Commonwealth University (VCU) on all 50 States and the District of Columbia. VCU surveyed all States, analyzed their data on supported employment, and assessed the impact of supported employment.

From this study and subsequent updates, the most significant outcome data suggest:

- Over 73,000 individuals were served in supported employment programs through FY 1990.
- The total Title I, Title III and Title VI, Part C funds expended in FY 1989 were $61,974,000, an increase of 24.8 percent over FY 1988.
- State Vocational Rehabilitation (VR) agencies increased the number of new individuals receiving supported employment services in FY 1989 to 14,377, a 68.1 percent increase over the preceding year.

Management Improvement Strategies

The Rehabilitation Services Administration (RSA) has implemented a system for reviewing case record documentation for Title VI, Part C, which is part of the Case

Review System (CRS) for the Vocational Rehabilitation program under Title I of the Rehabilitation Act. RSA has developed a supplement to the State Plan Assurance Review (SPAR) for Title I which addresses supported employment services and is used for monitoring State agency performance.

III. SOURCES OF INFORMATION

1. State Plan Supplement for the Supported Employment Services Program.
2. The Annual Report to Congress for Fiscal Year 1990 on Supported Employment Activities under Section 311(d) of the Rehabilitation Act, September 1991. (Washington, D.C.: U.S. Department of Education, Rehabilitation Services Administration).
3. A National Analysis of Supported Employment Growth and Implementation. (Richmond, VA: Virginia Commonwealth University 1990).
4. Program files.

IV. PLANNED STUDIES

The National Institute on Disability and Rehabilitation Research (NIDRR) is continuing to study supported employment programs to determine what strategies the States have employed in developing a Statewide system of supported employment; to further identify long-term financial support available to the program; and to determine the number of persons served, cost of services, and the employment history of those served.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: Fred Isbister, (202) 205-9297
Program Studies	: Lenore Garcia, (202) 401-3630

SPECIAL INSTITUTIONS FOR THE HANDICAPPED

A. American Printing House for the Blind (APH)
(CFDA No. 84.998)

I. PROGRAM PROFILE

Legislation: Act to Promote the Education of the Blind of March 3, 1879 (20 U.S.C 101 et seq.) (no expiration date).

Purpose: To provide high-quality special educational materials to legally blind persons enrolled in educational or vocational training programs below the college level. Materials are manufactured and made available free of charge to schools and States through proportional allotments based on the number of blind students in each State.

Funding History 1/

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$ 865,000	1985	$5,000,000
1970	1,404,000	1986	5,263,000
1975	1,967,000	1987	5,500,000
1980	4,349,000	1988	5,266,000
1981	4,921,000	1989	5,335,000
1982	5,000,000	1990	5,663,000
1983	5,000,000	1991	6,136,000
1984	5,000,000		

1/ Excludes a permanent appropriation of $10,000 for all years; reflects enacted supplementals, rescissions, and reappropriations.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The American Printing House for the Blind (APH) supports the goal of providing adult Americans with the knowledge and skills necessary to compete in a global economy (Goal 5).

Population Targeting

To be eligible for services, a student who is blind must be enrolled in an educational or vocational training program below the college level, for 20 hours or more per week. APH estimated that 30 percent of those served in 1991 were visual readers, 13 percent auditory readers, 12 percent braille readers, 11 percent prereaders, and 34 percent non-readers. Of the students counted in the annual census conducted by APH, 83 percent were enrolled in public school programs, 9 percent in residential programs, 3 percent in rehabilitation programs, and 5 percent in programs for the multiple handicapped.

Services

APH maintains an extensive inventory of special educational materials for the blind. These include text materials in braille, large type, and recorded form; and special tools, teaching aides, microcomputer hardware and software, and supplies not available on a commercial basis. APH provides advisory services for consumers, including visits to approximately 20 agencies or programs each year to inform administrators and teachers about available materials. In addition, APH conducts basic and applied research to develop new educational materials for use in educating students who are blind.

Program Administration

The Act to Promote the Education of the Blind, as amended, authorized the Federal government to provide an appropriation to APH to manufacture and distribute special educational materials free of charge to schools and programs serving students who are blind, enrolled in education or vocational training programs below the college level. APH has two standing advisory committees: one establishes the need for new publications and the second oversees research and development. The funds provided under this Act represent approximately 39 percent of APH's total budget in FY 1991. Materials are available to each State and territory in proportion to their share of the total national enrollment of students who are blind. This enrollment is determined by an annual census administered by APH.

Outcomes

The American Printing House for the Blind served 48,071 students in FY 1991, an increase of 1,587 above the 1990 level of 46,484 students. Examples of material under development in 1991 include:

- Curriculum materials for multihandicapped and preschool students
- Aides for assessment of visual efficiency
- Portable lightbox programs for near distance activities
- Braille language and adult braille writing programs
- Texttalker & Texttalker GS improvements

o Tools for assessing Braille skills

o High interest and low vocabulary software

o Speaqualizer enhancement

o Microcomputer applications and adaptations

The Department of Education completed a study of the American Printing House for the Blind on the provision of educational materials for the blind, in FY 1991 (III.2). The study includes data on the operations of the Federal quota program, trends in services provided, and the context under which the program operates. The study also included an analysis of survey data on parental perspectives on educational products available for use with visually impaired students.

With regard to service trends, the study found that educational aids increased 20.6 percent as a percentage of total sales from 26.2 percent in 1988 to 31.6 percent in 1991. In contrast, the greatest percentage decrease in sales has been of braille products. States were generally very positive about the performance of the Printing House and indicated that they believe the current per-pupil allocation system represents an equitable and appropriate means for distributing Federal funds appropriated for APH. Some concerns were raised in relation to more timely delivery of materials, the high cost of materials such as tangible aides, and amount of overhead charged for materials made available from other vendors.

This study was expanded in the spring of 1990 to include a survey by the National Association of Parents of the Visually Impaired. They conducted the survey in order to obtain information about consumer needs and satisfaction with educational materials used with blind students. There was a low level of response to this survey, but the contractors found considerable variation in the availability of educational materials for students with visual impairments. Students in public special day schools were more likely to have available different learning aids than children in any other educational placement. Parents who purchased materials privately did so from a variety of sources, with purchases from APH accounting for less than half.

Management Improvement Strategies

APH updated its strategic plan in FY 1991, implemented a comprehensive information system to improve production planning, created an information systems function, and increased its finished goods inventory. APH has recruited a consultant to expand its expertise in the textbook publications area. In addition, APH continues to build and purchase machinery to eliminate labor-intensive work tasks.

III. SOURCES OF INFORMATION

1. Program files.

2. Study of the American Printing House for Blind: Parental PeRspectives on Services for the Visually Impaired, (Washington, DC: Pelavin Associates, October 1990).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Lisa Gorove, (202) 205-5411

Program Studies : Barbara Vespucci, (202) 401-3630

B. National Technical Institute for the Deaf (NTID)
(CFDA No. 84.998)

I. PROGRAM PROFILE

Legislation: Title II of the Education of the Deaf Act, P.L. 99-371, Title IV (20 U.S.C. 4301 et seq.) (expires September 30, 1992).

Purpose: To promote the employment of people who are deaf or hard-of-hearing by providing technical and professional education for the Nation's youth who are deaf or hard-of-hearing. The National Technical Institute of the Deaf (NTID) also conducts applied research and offers training in occupational and employment-related aspects of hearing loss, including communication assessment and instruction, and education and cognition.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$ 2,851,000	1985	$31,400,000
1975	9,819,000 1/	1986	30,624,000 3/
1980	17,349,000 2/	1987	32,000,000
1981	20,305,000	1988	31,594,000
1982	26,300,000	1990	36,070,000 4/,5/
1983	26,300,000	1991	37,212,000
1984	28,000,000		

1/ Includes $1,981,000 for construction.
2/ Includes $2,729,000 for construction.
3/ Includes $1,400,000 for construction.
4/ Includes $ 476,000 for construction.
5/ Includes $ 888,000 for projects to serve low-functioning persons who are deaf, to be administered by the Rehabilitation Services Administration.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The National Technical Institute for the Deaf (NTID) supports the goal of increasing achievement in science and mathematics (Goal 4) and providing adult Americans with the knowledge and skills necessary to compete in a global economy (Goal 5).

Population Targeting

NTID provides a residential higher education facility for the postsecondary technical training and education of the Nation's young people who are deaf or hard-of-hearing. NTID serves students with an average hearing loss of 92 decibels. In FY 1991, a total of 1,105 students were enrolled, of whom 839 were in technical fields and 266 in professional disciplines. In addition, NTID estimates that about 325 persons participated in its Summer Vestibule Program (SVP). SVP is a four-week experience that allows new students to engage in career exploration and decision making, adjust to college life, and assess their academic skills and competencies. Students get hands-on experience and information about various programs.

Services

NTID offers a variety of technical programs at the certificate, diploma, and associate degree levels, including majors in business, engineering, science, and visual communications. Students at NTID may also take courses through the other eight colleges of the Rochester Institute of Technology. The academic programs are supplemented by support services and special programs such as tutoring, note-taking, interpreting, special educational media, cooperative work experience, and job placement. In addition, NTID conducts applied research and provides training in occupational and employment-related aspects of hearing loss, communication assessment, and educational techniques to professionals in the field of deafness and hearing loss, and to others working with or for people who are deaf or hard-of-hearing.

Program Administration

The Department of Education contracts with the Rochester Institute of Technology (RIT) to provide the facilities and core services necessary to operate NTID. NTID is one of eight colleges at RIT, all of which are open to NTID students seeking course work beyond that offered by NTID, or degrees beyond the associate degree level. NTID receives a Federal subsidy to provide educational programs for Americans who are deaf or hard-of-hearing. The Federal appropriation represents approximately 83 percent of NTID's total budget.

Outcomes

NTID awarded degrees to 200 students in FY 1991. Approximately 100 publications developed at NTID are available for distribution to the public.

Management Improvement Strategies

The Education of the Deaf Act of 1986 significantly expanded the monitoring and evaluation responsibilities of the Secretary of Education over NTID. The Department of Education is working with NTID to contain expenditures and to increase non-Federal revenues while preserving the quality and availability of programs. In FY 1991, NTID established a strategic planning process to develop a comprehensive plan for the next decade. The process will involve students, staff, and faculty and will result in recommendations on future directions, including potential program enhancements, reductions, and eliminations. NTID plans to continue to increase affirmative action and equal employment opportunities in response to criticism from Congress. An updated affirmative action policy has been prepared and is being implemented. The Institute also has begun a program to alleviate problems encountered by its interpreting staff resulting from repetitive-motion injuries.

III. SOURCES OF INFORMATION

1. Educating Students at Gallaudet and the National Institute for the Deaf (March 22, 1985, General Accounting Office, GAO/HRD 85-34).

2. Deaf Education: Cost and Student Characteristics at Federally Assisted Schools (February 14, 1986, General Accounting Office, GAO/HRD-86-64BR).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Lisa Gorove, (202) 205-5411

Program Studies : Barbara Vespucci, (202) 401-3630

C. Gallaudet University
(CFDA No. 84.998)

I. PROGRAM PROFILE

Legislation: Title I of the Education of the Deaf Act of 1986, P.L. 99-371 (20 U.S. C. 4301 et seq.) (expires September 30, 1992).

Purpose: To provide elementary, secondary, college-preparatory, undergraduate, and continuing education programs for persons who are deaf or hard-of-hearing, and graduate programs relating to deafness for both hearing and deaf persons; to conduct basic and applied research related to deafness; and to offer public service programs to persons who are deaf or hard-of-hearing and to persons who work with these individuals.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$ 6,400,000 1/	1985	$58,700,000
1975	35,595,000 2/	1986	59,334,000
1980	48,768,000 3/	1987	62,000,000
1981	49,768,000 4/	1988	65,998,000
1982	52,000,000 5/	1989	67,643,000
1983	52,000,000	1990	67,643,000
1984	56,000,000	1991	72,262,000 6/

1/ Includes $1,218,000 for construction.
2/ Includes $18,213,000 for construction.
3/ Includes $10,730,000 for construction.
4/ Includes $6,594,000 for construction.
5/ Includes $1,600,000 for construction.
6/ Includes $2,440,000 for construction.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Programs at Gallaudet University support the national achievement goals (Goal 3 and 4) and the goal of providing adult Americans with the knowledge and skills necessary to compete in a global economy (Goal 5).

Population Targeting

Programs at Gallaudet University primarily serve persons who are deaf or hard-of-hearing. A study by the General Accounting Office (GAO) (III.1) found that 89 percent of entering students had a hearing loss of 70 decibels or greater and that 64 percent had profound hearing losses of 90 decibels or greater. During FY 1991, Gallaudet enrolled 2,404 preparatory, undergraduate, special, and graduate students. Gallaudet University operates federally funded elementary and secondary programs; the Model Secondary School for Deaf, which enrolled 322 secondary students, including 42 students in the Postsecondary Enrichment Program; and the Kendall Demonstration Elementary School, which enrolled 191 elementary school students. Gallaudet University also served an estimated 62,000 persons through outreach programs and product dissemination and provided 45,000 hours of student support services.

Hearing students are admitted to graduate and outreach programs, including a master's degree program in interpreting.

Services

Gallaudet University, which is a private, nonprofit educational institution, provides a wide range of educational opportunities for persons who are deaf or hard-of-hearing from the elementary to postsecondary levels, including graduate programs in fields related to deafness for students who are deaf, hard-of-hearing, and hearing. It conducts a wide variety of basic and applied research, and provides public service programs for persons who are deaf or hard-of-hearing and to professionals who work with persons who are deaf or hard-of-hearing. In addition, its support programs provide services in educational technology, social services, family education, speech, audiology, student counseling, educational assessment, occupational therapy, medical services, and evaluation.

Program Administration

The Federal Government provides 100 percent of the funding for elementary and secondary programs and approximately 65 percent of the funding for the college-level and outreach programs. The programs are authorized by the Education of the Deaf Act of 1986, which also significantly expanded the monitoring and evaluation responsibilities of the Secretary of Education over Gallaudet University's educational programs and activities and administrative operations. The operation of the institution is under the direction and control of a Board of Trustees.

Management Improvement Strategies

In FY 1990, Gallaudet completed an internal review study of the institution's organizational structure and initiated a plan to streamline the organizational structure, decentralize responsibility, and reduce overall staffing levels by 2 percent a year over five years. The

Department of Education is working with the University to monitor progress in these and other areas. In response to a 1987 GAO report (III.3), Gallaudet is also developing a system to separately report and account for school operations and research projects, and re-evaluate its strategy for marketing precollege materials.

Outcomes

Gallaudet University awarded degrees to 337 students in FY 1991. Of this number, 13 Associate, 204 Bachelor, 114 Master and 6 Ph.D. degrees were earned.

III. SOURCES OF INFORMATION

A planning study was conducted in 1989 to assist the Department in drafting guidelines for a programmatic review of Gallaudet University programs. As part of this study, a panel of experts in deafness, higher education, and program evaluation met and made recommendations regarding evaluation priorities, including the need for more detailed baseline data on the postsecondary experiences of exiting high school students and the postsecondary educational opportunities and experiences of persons who are deaf.

A study was conducted of the Model Secondary School for the Deaf and Kendall Demonstration Elementary School in 1990 on the utility of selected data bases for an analysis of per-pupil expenditures and the influence these schools have on placement decisions of local school districts (III. 4.).

1. Educating Students at Gallaudet and the National Institute for the Deaf (March 22, 1985, General Accounting Office GAO/HRD 85-34).
2. Deaf Education: Cost and Student Characteristics at Federally Assisted Schools (February 14, 1986, GAO/HRD-86-64BR).
3. Deaf Education: The National Mission of Gallaudet's Elementary and Secondary Schools (September 30, 1987, GAO/HRD-87-133).
4. The Utility of Selected Data Bases for the Analysis of Educational Outcomes and Expenditures for Deaf Students (Washington, DC: Pelavin Associates, April 1990).

IV. PLANNED STUDIES

In 1991, the Department initiated a study of Gallaudet's management, planning, and budget processes. The purpose of the study is to assess the availability of information at Gallaudet that could be used in the Federal budget process. The information will help to evaluate the University's budget request in relation to overall programs and operations, and to provide an overview of Gallaudet's budgetary and planning processes and how operational and programmatic priorities are derived. Study findings were due in FY 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Lisa Gorove, (202) 205-5411

Program Studies : Barbara Vespucci, (202) 401-3630

TECHNOLOGY-RELATED ASSISTANCE
(CFDA Nos. 84.224 and 84.231)

I. PROGRAM PROFILE

Legislation: Technology-Related Assistance for Individuals with Disabilties Act of 1988, P.L. 100-407, Title I (U.S.C. 2201-2217) (expires September 30, 1993).

Purpose: The Technology Assistance program authorizes support for a variety of activities intended to enhance the ability of individuals of all ages with disabilities to obtain assistive devices and services. Major advances in technology have resulted in devices and help in learning to use them, and continued support is not always easily available or even known about.

The activities authorized are intended to:

- Increase public and government awareness of the needs of individuals with disabilities for assistive technolgy devices and services.
- Increase the availability of assistive devices and services, including helping States review or establish policies and procedures that may help ensure the availability of assistive devices; increase funding for the provision of devices and revise policies that impede device availability; build State and local capability to provide them; and improve coordination among public and private agencies.
- Increase the awareness and knowledge of the efficacy of assistive technology among persons with disabilities, their families, professionals who work with the disabled, employers, and other appropriate people.

Funding History

Fiscal Year	Appropriation
1989	$ 5,150,000
1990	14,814,000
1991	20,982,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The population that receives services under this legislative authority includes a wide variety of persons with disabilities for whom assistive technology can help with tasks in daily life, in school training programs, and at the workplace.

In addition, this program is aimed at improving the knowledge and cooperation of persons who may work with or serve disabled persons, including staff of appropriate agencies and organizations, employers, family members, and others.

Services

Two main types of awards are made under this program: (1) discretionary grants to agencies designated by the Governors to develop comprehensive State programs that coordinate or directly serve persons needing assistive technology and (2) demonstration and innovation grants in local agencies.

Grants to States Technology Assistance. This program provides for competitive discretionary grants to States to establish Statewide programs of technology-related assistance.

The State projects may carry out a wide variety of activities, depending on the particular needs in the State, including: identifying the number and needs of persons with disabilities for assistive technology; identifying and coordinating resources for services and devices; directly providing devices and services to those who need them; information dissemination and public awareness; training and technical assistance; assistance to Statewide and community-based organizations; partnerships and cooperative initiatives; improving staff qualifications; compilation and evaluation of data; and procedures for involving concerned citizens.

FY 1990 grants totaling $12.2 million were made to 23 States for this program. In FY 1991, a total of $4.2 million was awarded for 8 new State grants.

Progress reports by the first nine States to receive awards indicated that the States all implemented some similar activities. All nine States developed Statewide networks of information and referral, established sites for evaluation and training on assistive devices, and implemented public awareness campaigns.

The projects have resulted in models of service delivery and support activities which can be adopted by other states and communities. For example:

- Utah established assistive technology service centers in five sites throughout the State. Each of these centers assesses more than 300 clients a year.
- Maine established an interactive cable television program which reached homes, offices, and classrooms throughout the State.
- Illinois set up a "store-front" information center and office in the State capitol.
- Minnesota sponsored consumer forums throughout the State to learn from consumers what their needs were.
- Colorado funded five "Assistive Technology Teams" through a competitive process. The teams are multidisciplinary, with individuals experienced in service delivery who meet with consumers and their families across the state on a regular basis. Colorado also funded a study to find out what programs already exist that will help with the costs of assistive technology and what barriers exist for access to these programs or to establishing new ones.

Demonstration and Innovation Grants. This program provides for awards to private agencies and organizations to operate model projects for delivering assistive technology and services; research; development; and loan projects. In 1990, the first year of operation for this program, 10 innovation projects were funded in private agencies for a total of $1.5 million. In FY 1991, no new awards were made in this program.

Program Administration

All awards are competitive, with the exception of one legislatively-directed award to the National Council on Disability.

Under the State grant program, the development grants are awarded for three years. States may apply for an additional two years of funding if the Secretary of Education determines that the State made significant progress during the first grant. No State may receive more than five years of funding under this activity.

The Governor must designate a lead agency which applies for the State grant funding and coordinates with other appropriate agencies in the State. Lead agencies have included State vocational rehabilitation agencies, State education agencies, universities, health and human service agencies, and Governors' councils.

Management Improvement Strategies

The Secretary is required to develop an information system providing quantitative and qualitative data on the program's impact. In 1990, a three-year technical assistance contract was awarded to provide help to the grantee States in implementing their development grants and to work with them in developing the information system. The contractor will provide help in developing plans, provide information on assistive technology services, and arrange for or recommend consultants in specific fields. The contractor is also coordinating self-evaluations by the grantees.

In FY 1990, the Department funded a mandated study of the feasibility and desirability of establishing a national information and program referral network. This study will evaluate the services currently available that provide information on assistive technology, conduct a consumers' needs assessment, and identify barriers to effective services.

Also in FY 1990, a study of Federal, State, local and private financing of assistive technology devices and services was awarded to the National Council on Disability, as mandated.

A new program was funded in FY 1991 to support training and public awareness activities. For this program, in preparation for developing regulations and program priorities, the Department's National Institute on Disability and Rehabilitation Research conducted public hearings in September 1990. In FY 1991, 8 awards were made under this program for a total of $1.2 million.

In FY 1991, a mandated national evaluation study was started to assess the effects of the State grant program.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

In FY 1992, the National Institute on Disability and Rehabilitation Research (NIDRR) intends to fund an evaluation of the feasibility of loan demonstration projects and on-site peer reviews of the first 9 grantees to assess their suitability for extension grants.

V. CONTACTS FOR FURTHER INFORMATION

Program operations: Carol Cohen, (202) 732-1139

Program studies : Nancy Rhett, (202) 401-3630

OFFICE OF VOCATIONAL AND ADULT EDUCATION

VOCATIONAL EDUCATION--BASIC GRANTS TO STATES
(CFDA No. 84.048)

I. PROGRAM PROFILE

Legislation: Carl D. Perkins Vocational Education Act (P.L. 98-524), Title II, Part A and Part B (20 U.S.C. 2331-2334 and 2341-2342 respectively). Although the Perkins Act was amended effective July 1, 1991, by the Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 (P.L. 101-392) (expires September 30, 1995), all programs under the Perkins Act addressed in this report operated in the final year before the amendments became effective.

Purposes: To help States and Outlying Areas expand and improve their programs of vocational education and provide equal opportunity in vocational education for traditionally underserved populations. Vocational education programs supported by Basic Grants are designed to give the Nation's work force the marketable skills needed to promote economic growth and live productive lives.

Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation
1965	$168,607,000	1985	$777,633,758
1970	342,747,000	1986	743,965,099
1975	494,488,000	1987	809,507,974
1980	719,244,000	1988	798,665 863
1981	637,315,000	1989	825,600,408
1982	587,736,648	1990	844,429,254
1983	657,902,000	1991	848,359,869
1984	666,628,758		

1/ These amounts include funds provided to the States each year under the Smith-Hughes Act's permanent appropriation. For FY 1965 through FY 1984, the amounts represent funds appropriated under P.L. 94-482. For FY 1985 through FY 1990, the amounts represent funds appropriated under P.L. 98-524 and for FY 1991 under P.L. 101-392.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The activities carried out in Basic Grants to States with funds reserved for disadvantaged individuals, including dropouts and potential dropouts, support the goal of increasing the high school graduation rate (Goal 2); providing American students who leave elementary and secondary education with basic skills and competencies that will prepare them for responsible citizenship, further learning, and productive employment (Goal 3); providing special courses and teaching strategies designed to teach fundamentals of math and science through practical applications (Goal 4); and providing adult Americans with the knowledge and skills, including basic literacy, necessary to compete in a global economy (Goal 5).

Performance Indicators

The National Center for Research in Vocational Education surveyed State vocational directors to assess the status of efforts as of June 1991 to develop performance measures and standards as required by the Perkins Act of 1990 (III.6). About half of the States indicated that they have specific performance measures and/or standards for students in vocational education in the past--49 percent for secondary and 43 percent for postsecondary education. Of those States, 56 percent applied their standards to all students in secondary vocational education and 64 percent to all students in postsecondary vocational education. Thus at least half of the States are starting from scratch and face substantial work in developing and implementing performance measures and standards by July 1993 as required by the amended Perkins Act.

Population Targeting

The Final Report of the Department of Education's National Assessment of Vocational Education (NAVE) completed in August 1989 reported the following findings on secondary vocational education (III.2):

- Schools with the largest percentage of disadvantaged students offer 40 percent fewer vocational courses, a third fewer occupational programs, and half as many advanced occupationally specific courses as schools with the smallest percentage of disadvantaged students.

- Students in schools with the largest concentrations of poor and academically disadvantaged students were 40 percent less likely than students in schools with the smallest percentage of disadvantaged students to have access to an area vocational school.

- Both students with disabilities and academically disadvantaged students earn more credits in secondary vocational education than other students.

- Data on high school classes of 1982 show that vocational courses in applied mathematics, such as business math, vocational math, and vocational courses that included substantial math content (e.g., electronics, drafting, accounting, agricultural science) were associated with significant gains in math learning.

Findings from the NAVE Final Report and data from the Department's Integrated Postsecondary Education Data System for the 1988-1989 school year (III.7.) show that at the postsecondary level:

- Enrollments in vocational education are high and, over time, the proportion of total course work in vocational subject areas has increased. The share of vocational coursework taken by members of the high school class of 1980 who enrolled in community colleges was 18 percent higher than it was for the high school class of 1972.

- While two-year public institutions accounted for only 14 percent of the total number of institutions offering vocational education in 1988-89, they delivered the vast majority of vocational education offerings to the high school class of 1980. In contrast, private proprietary schools represented 69 percent of the institutions offering vocational education, but on average were quite small, accounting for less than 10 percent of vocational courses taken by 1980 high school seniors in less than baccalaureate institutions.

- In 1988-89, private postsecondary institutions awarded 53 percent of the less-than-four-year degrees. Over 60 percent of these degrees awarded by private postsecondary institutions were less-than-one-year certificates, while almost half of those awarded by public postsecondary institutions were associate's degrees. The majority of the degrees awarded by public institutions were in business (28 percent) and health (27 percent) programs. The highest percentage of degrees awarded by private institutions was in business programs (36 percent) followed by health (12 percent) and marketing (10 percent).

- Compared to four-year colleges, less-than-baccalaureate institutions attract a broader cross-section of students in terms of age, race, economic background, and level of ability. Students at these institutions are more likely to be female, black, Hispanic, from families with lower incomes, older, and financially independent of their parents.

Program Administration

Basic Grants programs operating during FY 1991 were supported by funds appropriated for FY 1990 under P.L. 98-524. Under that authorization, after setting aside up to 7 percent for administration, States were required to allot 57 percent of their remaining Basic Grants for services designed to increase the vocational education opportunities of disadvantaged students (22 percent); adults who need training or retraining (12 percent); students with handicaps (10 percent); single parents, single pregnant women, and homemakers (8.5 percent); students in courses to overcome sex bias and stereotyping (3.5 percent); and criminal offenders in correctional institutions (1 percent).

The remaining 43 percent of each State's Basic Grant was reserved under Part B for program improvement, innovation, and expansion activities, including renovation of training facilities, upgrading of equipment, staff training, and curriculum development. Expenditures for career guidance and counseling services also were authorized and required to be maintained by each State at the FY 1984 levels.

Although formulas and set-asides were established within the Perkins Act, States retained the discretion to allocate most funds between secondary and postsecondary sectors and within sectors. More than 50 percent of all funds were required to be spent in economically depressed areas; however, some States identified so much of their territory as economically depressed that the constraint had little meaning (III.5). With the exception of the set-aside for handicapped and disadvantaged students, there was no requirement that funds be allocated according to population, enrollment, economic need, or other criteria.

In allocating funds set aside for handicapped and disadvantaged students, the percentage of a State's grant allocated to an eligible recipient (i.e., a school district or postsecondary institution) depended on the number of disadvantaged students enrolled (50 percent) and either the number of handicapped students or the number of disadvantaged students served in vocational education (50 percent). The Limited-English-Proficiency portion of the disadvantaged allocation depended on the ratio of limited-English-proficiency students enrolled in the eligible recipient.

The NAVE Final Report found that, across the country, the rates at which States allocated Perkins funds between secondary and postsecondary sectors varied greatly. In the 1986-87 school year, the postsecondary shares ranged from 8 to 100 percent. The NAVE Second Interim Report (III.4) found that, nationally, 42 percent of FY 1986 funds were allocated to postsecondary education. In addition, separate area vocational school districts appeared to receive a disproportionate share of the Federal funds that flowed to secondary education. Area vocational school districts and postsecondary institutions received much larger grants than school districts on a per-pupil basis.

Other NAVE findings concerning the allocation of Perkins funds indicate that:

- For the disadvantaged set-aside alone, school districts with the highest poverty rates had a greater likelihood of receiving an award, and their per-student disadvantaged (and handicapped) set-aside awards were larger than those in other districts. Within districts, however, case studies were unable to uncover any systematic means for funds distribution or service provision based on student or programmatic chacteristics.

- A substantial share of program improvement funds was being retained for Statewide activities. Most Statewide activities involved assistance to secondary vocational education. Funds retained at the State level were most commonly used for curriculum development. Under the Perkins Act of 1990, no funds are specifically set aside for program improvement.

Outcomes

NAVE developed a new indicator for evaluating vocational education programs. The "skilled course utilization rate" measures the share of all vocational courses that are related to jobs that students obtain when those jobs require more than minimal skills. Based on this measure:

- About 38 percent of all occupationally specific vocational courses were used in skilled jobs approximately 16 months after high school graduation for the high school class of 1982. By fall 1985, the skilled jobs course utilization rate had risen to 44 percent.

- Rates of skilled course utilization were higher for women than for men--46 percent compared with 33 percent, 16 months after graduation from high school. The higher rate for women was due, in large part, to their extensive enrollment in business education and the relatively high rate at which business graduates obtained skilled, business-related jobs.

III. SOURCES OF INFORMATION

1. Program files.

2. National Assessment of Vocational Education (NAVE) Final Report, (Washington, DC: U.S. Department of Education, Vol. I, July 1989, Vol. II, May 1989).

3. NAVE First Interim Report (Washington, DC: U.S. Department of Education, January 1988).

4. NAVE Second Interim Report (Washington, DC: U.S. Department of Education, September 1988).

5. Vocational Education: Opportunity to Prepare for the Future (Washington, DC: General Accounting Office (GAO)/HRD-89-55, May 1989).

6. Results of the Fifty States Survey on Performance Measures and Standards (National Center for Research in Vocational Education, forthcoming).

7. Vocational Education in the United States: 1969-89 (Washington, DC: National Center for Education Statistics, forthcoming).

IV. PLANNED STUDIES

The Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 authorized a new national assessment, although no funds were appropriated for this purpose in FY 1991. An interim report is due to Congress on or before January 1, 1994, and a final report on or before July 1, 1994.

Through studies and analyses conducted independently after competitive awards, the new assessment will include descriptions and evaluations of:

- Implementation studies on administration and practice. The effect of the Perkins Act Amendments of 1990 on State and tribal administration of vocational education and on local vocational education practice.
- Implementation studies on funding. Federal, State, and local expenditures to address program improvement; the impact of the within-State allocation requirements; the effect of funding flexibility on services to special populations; the distribution of Federal vocational education funds to the States.
- General and special populations studies. Participation of general and special populations in vocational education; access to high-quality programs; the effect of statutory requirements on criteria for services to special populations.
- Quality of vocational education. Preparation and qualifications of teachers; shortages of teachers; the extent and success of academic/vocational integration; articulation between secondary and postsecondary programs; effect of performance standards on vocational education; academic outcomes; effect of educational reform on vocational education.
- Employment studies. School-to-work transition; employment outcomes and the relevance of vocational training to occupations; employer satisfaction and involvement.
- Special studies. Coordination of services under the Perkins Act Admendments of 1990, the Job Training Partnership Act, and other Federal programs; vocational education in tribal institutions; vocational education in correctional facilities; involvement of minority students in vocational student organizations.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Marcel R. Duvall, (202) 205-9444

Program Studies : Audrey Pendleton, (202) 401-3630

VOCATIONAL EDUCATION--INDIAN AND HAWAIIAN NATIVES PROGRAMS
(CFDA No. 84.101)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational Education Act (P.L. 95-524), Title I, Part A, Section 103 (20 U.S.C. 2313). Although the Perkins Act was amended effective July 1, 1991, by the Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 (P.L. 101-392) (expires September 30, 1995), all programs under the Perkins Act addressed in this report operated in the final year before the amendments became effective.

Purpose: To provide financial assistance to eligible Indian tribes and to organizations serving Native Hawaiians to plan, conduct, and administer vocational education programs authorized by, and consistent with, the Perkins Act.

Funding History

Fiscal Year	Appropriation	
	American Indians	Hawaiian Natives
1977	$ 5,281,476	0
1980	6,929,755	0
1981	6,182,654	0
1982	6,186,230	0
1983	5,936,734	0
1984	6,645,484	0
1985	9,895,639	$1,979,128
1986	9,564,367	1,912,873
1987	10,414,352	2,082,870
1988	10,462,777	2,092,555
1989	10,808,990	2,220,793
1990	11,099,592	2,201,990
1991	11,104,009	2,220,793

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Indian and Hawaiian Natives Vocational Education program supports funding of education and training projects for Indians and Hawaiian Natives to attain the knowledge and skills necessary to compete in a global economy (Goal 5).

Outcomes

Placement rates for American Indian projects range from 67 to 100 percent. Among the grantees with the highest placement rates are the NANA Regional Corporation in Anchorage, Alaska and the Mississippi Band of Choctaw Indians.

- In Alaska, the Red Dog Indian Vocational Project provides training in mine operations, maintenance, and materials management. Of the 104 Native Americans who completed training by 1991, all were placed in apprenticeship positions in the Red Dog zinc mine.
- In Mississippi, the Band of Choctaw Indians has provided training primarily in the open cable and electrical wire harness trade. Of the 313 Native Americans who completed training, all were placed in jobs; 236 were employed by the Chahta Enterprise, a tribally owned enterprise. In addition, 298 employees of the Chahta Enterprise received training to upgrade their skills.

Management Improvement Strategies

American Indians

The Department of Education has worked with grantees to improve job placement by giving special consideration to grant recipients that link their programs with tribal economic development plan as required by law.

The Department provides training materials and technical assistance to all Indian tribes in an effort to develop high-quality vocational education programs.

Hawaiian Natives

The program for Hawaiian Natives Vocational Education under the Perkins Act stipulates that grants can only be made to organizations that primarily serve and represent Hawaiian Natives and are recognized by the Governor of the State of Hawaii. Thus far, only one organization, Alu Like Inc., has received this recognition and has thus received all the available funds. Alu Like is a nonprofit organization with the primary mission of assisting Hawaiian Natives to achieve social and economic excellence. (III.2)

The mission of the Hawaiian Natives Vocational Education program administered by Alu Like is to foster changes in the Hawaiian vocational education delivery system to ensure that Native Hawaiian students participate in, and benefit from, vocational education to the same degree as other ethnic groups in the State. Goals of projects funded by the program include increasing the number of Native Hawaiian vocational education high school students who pursue vocational education at the community college level, adoption of methods culturally appropriate for teaching basic academic skills to Native Hawaiians at the intermediate level, improving the retention and completion rates of Native Hawaiians enrolled in community college vocational education programs, and establishing community-based vocational education facilities to assist Hawaiian Native adults to reenter the public vocational system.

The University of Hawaii Community College Student Retention Model, which is supported in part by the program, includes a data collection system that is being updated to track the progress of Native Hawaiian students in community colleges. An outreach effort is continuing to recruit Native Hawaiian high school students for enrollment in community college programs and to assist students in continuing in higher level programs.

The grantee is working with the private sector to develop training alternatives in occupations such as home health care and small business management. Cooperative learning is being used in schools as a culturally appropriate and effective means of educating Hawaiian Native students.

III. SOURCES OF INFORMATION

1. Program files.

2. Pelavin, Diane C., Levine, Andrea B., and Sherman, Joel D., Descriptive Review of Set-Aside Programs for Hawaiian Natives (Washington, DC: Pelavin Associates, April 1989).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Indian Vocational Education: Harvey G. Thiel, (202) 205-5680 Perness Swett, (202) 205-9379
Program Operations	:	Native Hawaiian Vocational Education: Kate Holmberg, (202) 205-5563
Program Studies	:	Audrey Pendleton, (202) 401-3630

VOCATIONAL EDUCATION--COMMUNITY-BASED ORGANIZATIONS PROGRAMS
(CFDA No. 84.174)

I. PROGRAM PROFILE

Legislation: Carl D. Perkins Vocational Education Act (P.L. 98-524), Title III, Part A (20 U.S.C. 2351-2352). Although the Perkins Act was amended effective July 1, 1991, by the Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 (P.L. 101-392) (expires September 30, 1995), all programs under the Perkins Act addressed in this report operated in the final year before the amendments became effective.

Purpose: To provide States with financial assistance to operate programs that provide special vocational education services to disadvantaged youth who are not adequately served by the regular vocational education system. Projects must involve the collaboration of public agencies, community-based organizations (CBOs), and business.

Funding History

Fiscal Year	Appropriation
1987	$ 6,000,000
1988	8,845,000
1989	8,892,000
1990	10,850,000
1991	11,710,848

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

By focusing services on at-risk individuals, including dropouts, who may not be served by regular vocational education services, this program supports the goal of increasing the high school graduation rate (Goal 2). Development of basic skills supports the goal of achieving competencies to prepare for responsible citizenship, further learning, and productive employment (Goal 3). Goal 5 is furthered by providing necessary skills to individuals so that they may become a competitive part of the global economy.

Population Targeting

Title III, Part A, of the Perkins Act is restricted to certain activities specified in the next section. Funds are allocated based on a statutory formula to States upon submission and approval of a State plan that addresses State needs. In FY 1991, 53 grants were made to the States, the District of Columbia, Puerto Rico, and the Virgin Islands.

A descriptive study of the CBO programs published in March 1990 (III.2), provided information about State administration and funding of local projects and about local project implemementation. The study found that:

- Most States use grants competitions to fund vocational education at community-based organizations.
- A variety of organizations, including private nonprofit organizations, neighborhood associations, and social service groups receive funding.
- States tend to distribute funds widely among a large number of organizations located in different parts of the State rather than concentrate funds on only a few projects.

Services

Joint projects of eligible recipients and community-based organizations provide special vocational education services and activities, such as outreach programs, transitional services, pre-vocational educational preparation and basic skills development, and career intern programs.

Program Administration

States generally renew projects that appear to be working successfully, but renewal of the grant is not automatic. States monitor the implementation of CBO projects through on-site visits and performance reports, but most States do not conduct formal evaluations.

III. SOURCES OF INFORMATION

1. Program files.
2. Descriptive Review of Data on the Vocational Education Community-Based Organizations Program (Washington, DC: Pelavin Associates, March 1990).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Isaac Wilder, (202) 205-9435

Program Studies : Audrey Pendleton, (202) 401-3630

VOCATIONAL EDUCATION--CONSUMER AND HOMEMAKING EDUCATION
(CFDA No. 84.049)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational Education Act (P.L. 98-524), Title III, Part B (20 U.S.C. 2361-2363). Although the Perkins Act was amended effective July 1, 1991, by the Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 (P.L. 101-392) (expires September 30, 1995), all programs under the Perkins Act addressed in this report operated in the final year before the amendments became effective.

Purpose: To assist the 50 States and the outlying areas in conducting consumer and homemaking education programs that prepare male and female youths and adults for the occupation of homemaking. Funds can be used to provide instruction in food and nutrition, consumer education, family living and parenthood education, child development and guidance, housing, home management (including resource management), and clothing and textiles.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$15,000,000	1985	$31,633,000
1975	35,994,000	1986	30,273,000
1980	43,497,000	1987	31,273,000
1981	30,347,000	1988	32,791,000
1982	29,133,000	1989	33,118,000
1983	31,633,000	1990	34,118,000
1984	31,633,000	1991	33,351,566

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

By providing instruction to youths and adults in nutrition, consumer education, child development, home management, housing and parenthood education, this program addresses Goals 1, 2, 3, and 5 through assisting parents in working with their children so they are prepared for school; contributes to retention of high school graduation rate; through applied academics will ensure responsible citizenship, further learning, and productive employment for a world class workforce; and through access to education will allow individuals to acquire the necessary skills to exercise the rights and responsibilities of citizenship.

Population Targeting

Consumer and homemaking education programs, services, and activities are intended to be accessible to males and females, youth and adults at all educational levels. At least one-third of Federal funds were required to be used for programs, services, and activities in economically depressed areas or areas with high rates of unemployment to improve quality of family life. Grants were made, through a statutory formula, to the 50 States, Puerto Rico, the District of Columbia and the five U.S. territories in FY 1991.

Services

Programs, services, and activities provided by the Federal Consumer and Homemaking Education Program include (1) program development and improvement of instruction and curricula; and (2) support services and activities designed to ensure quality and effectiveness of programs including application of academic skills in consumer and homemaking programs, professional development, and State administration, supervision, and leadership.

Program Administration

State Boards of Education are responsible for administering the program and assisting eligible recipients to plan and conduct instructional programs in all consumer and homemaking education areas. All States and territories currently offer consumer and homemaking education programs.

States and Territories are updating, expanding, and revising curricula to reflect the needs of youth and adults. According to State and local records, 4.3 million students are served by 34,100 consumer and homemaking education programs across the country; 42 percent of these students are males. Fifty-nine percent of the consumer and homemaking students are enrolled in parenthood education, family living, nutrition education, child development, and management of resources.

States have implemented new and/or revised programs and curriculum in areas such as Consumer and Homemaking Education, Interrelatedness of Balancing Work and the Family, Management of Resources and Life Management Skills, Child Growth and Development, Parenting/Family Life Education, and Consumer Education. An integral part of all instructional programs is the application of academic skills.

Management Improvement Strategies

- States and universities are conducting research aimed at program improvement in cooperation with business and industry and professional organizations of consumer and homemaking education.

- States are providing professional development and leadership conferences for teachers to improve the quality of instructional programs including the application of academic education and development of performance standards/core measures and the effectiveness of evaluation of programs and services.

- National leadership workshop conferences, conducted by the Office of Vocational and Adult Education, enhance State and local education agencies' efforts to carry out the legislative requirements of the Carl D. Perkins Vocational and Applied Technology Education Act and to develop strategies for meeting the challenges cited in recent national studies on education reform.

III. SOURCES OF INFORMATION

1. Enrollment Source: Vocational Home Economics Education Coalition (Washington, DC: U.S. Department of Education, Division of Vocational Home Economic Education, Office of Vocational and Adult Education, 1991).

2. Research and Curriculum Projects by State Departments of Education, 1990-91 (Washington, DC: U.S. Department of Education, Division of Vocational Home Economics Education, American Vocational Association, and Office of Vocational and Adult Education).

3. State Annual Performance Reports for Vocational Education (Washington, DC: U.S. Department of Education, Division of Vocational Education, Office of Vocational and Adult Education, December 1991).

4. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Bertha G. Kings, (202) 205-5421

Program Studies : Audrey Pendleton, (202) 401-3630

VOCATIONAL EDUCATION--TECH-PREP EDUCATION
(CFDA No. 84.243)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational and Applied Technology Education Act, P.L. 101-392, Title III, Part E (20 U.S.C. 2394) (expires September 30, 1995).

Purpose: To provide planning and demonstration grants to consortia of local education agencies and postsecondary educational institutions, for the development and operation of four-year programs designed to provide a tech-prep education program that leads to a two-year associate degree or a two-year certificate; and to provide, in a systematic manner, strong, comprehensive links between secondary schools and postsecondary educational institutions or an apprenticeship program.

Funding History:

Fiscal Year	Appropriation
1991	$63,000,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Tech-Prep Education Program addresses several national education goals: Goal 2, high school completion; Goal 3, student achievement; Goal 4, mathematics and science achievement; and Goal 5, ability to compete in a global economy.

Population Targeting

The program, through a cooperative effort between consortia of local education agencies and postsecondary educational institutions, links the last two years of high school vocational programs with two years of community, junior, and technical college programs. It does this by developing and implementing a "2+2" model of a four-year program that combines a common core of learning with technical education. Tech-prep education programs require basic proficiency development in mathematics, science, communication, and technology that leads to a two-year associate degree or a two-year certificate in a specific career field.

Services

Activities that may be provided under the Tech-Prep Education Program include developing a tech-prep curriculum appropriate to the needs of students participating in the program; providing in-service training for teachers; and training counselors how to recruit students and provide counseling that ensures successful completion of tech-prep education programs, and provide employment placement counseling.

Program Administration

States administer the tech-prep program through their State Boards of Vocational Education and make subgrants to eligible consortia of secondary-level and postsecondary educational institutions, on either a discretionary or formula basis. The State is responsible for providing federally required plans and reports, reviewing, and processing applications for local projects, and providing technical assistance.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

A study is planned to begin at the end of FY 1992 to evaluate the effectiveness of the Tech-Prep Education program. It will examine Tech-Prep Education Program implementation and administration at the State level and tech-prep education programs at the local level, using mail surveys and limited site visits.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Nancy Smith Brooks, (202) 205-8269

Program Studies : Sandra H. Furey, (202) 401-3630

VOCATIONAL EDUCATION--TRIBALLY CONTROLLED POSTSECONDARY VOCATIONAL INSTITUTIONS
(CFDA No. 84.245)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 (P.L. 101-392) (expires September 30, 1995).

Purpose: To provide grants for the operation and improvement of tribally controlled postsecondary vocational institutions to ensure continued and expanded educational opportunities for Native American students, and to allow for the improvement and expansion of the physical resources of such institutions.

Funding History

Fiscal Year	Appropriation
1991	$2,440,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

By funding the operation and improvement of tribally controlled postsecondary vocational institutions, the program supports Goal 5 by providing opportunities for Native Americans to acquire the necessary skills to exercise the rights and responsibilities of citizenship and to compete in the economy.

Population Targeting

This program targets funds on tribally controlled postsecondary vocational institutions that: (1) are governed by a board of directors or trustees, a majority of whom are Indians; (2) demonstrate adherence to a philosophy which fosters individual Indian economic self-sufficiency and opportunity; (3) are accredited by a nationally recognized accrediting authority for postsecondary vocational education; and (4) enroll the full-time equivalency of not less than 100 students, of whom the majority are Indians. The two institutions supported in FY 1991 (the first year of funding) were Crownpoint Institute of Technology (Crownpoint, New Mexico) and United Tribes Technical College (Bismarck, North Dakota). The authorizing statute requires the Secretary to give priority for funding in future years to to the grantees who previously were funded.

Services

Program grants provided to program institutions support the operation and improvement of tribally controlled postsecondary vocational institutions to ensure continued and expanded educational opportunities for Native American students, and to allow for the improvement and expansion of the physical resources of such institutions. Among the services provided through program funds are the maintenance and operation of the program, including development costs, costs of basic and special instruction, materials, student costs, administrative expenses, boarding costs, transportation, student services, day care, and family support for students and their families (including contributions to the costs of education for dependents); capital expenditures, including operations and maintenance and minor improvements and repair, physical plan maintenance costs; and costs associated with repair, upkeep, replacement, and upgrading of the instructional equipment.

Program Administration

By statute, only tribally controlled postsecondary vocational institutions are eligible for assistance under the Tribally Controlled Postsecondary Vocational Institutions Program.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

Pursuant to a statutory directive, two studies were undertaken November 1991 to exam the facilities, training equipment, and housing needs of tribally controlled postsecondary vocational institutions eligible for assistance under the Tribally Controlled Postsecondary Vocational Institutions Program. The first study is intended to provide a (1) detailed description of the housing needs, including such factors as quality of facilities, location, and housing options (bonding, private leasing) of the institutions; and (2) detailed assessment of the training needs, including equipment needs, recruitment, admissions, financial aid, support services, and job placement activities of the study institutions. The second study will provide a five-year projection of the training facilities, equipment, and the housing needs of the studied institutions. Reports from the two studies are due in 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Harvey Thiel, (202) 205-5680
Program Studies	:	Sandra H. Furey, (202) 401-3630

VOCATIONAL EDUCATION--NATIONAL PROGRAMS
(CFDA Nos. 84.051 and 84.193)

I. PROGRAM PROFILE

Legislation: Carl D. Perkins Vocational Education Act (P.L. 98-524), Title IV, Parts A, B, and C, Sections 401-404, 411-417, and 722 (20 U.S.C. 2401-2404, 2411-2417, and 2422). Although the Perkins Act was amended effective July 1, 1991, by the Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 (P.L. 101-392) (expires September 30, 1995), all programs under the Perkins Act addressed in this report operated in the final year before the amendments became effective.

Purposes: (1) To conduct and disseminate research that would improve the quality of vocational education, expand its access to special populations, provide results that are readily applicable to the vocational setting, and provide practical information that can be used by vocational education administrators, counselors, and instructors; (2) to conduct nationally significant model demonstration programs in vocational education; and (3) to establish a reporting and accounting system for vocational education that includes support for the National Occupational Information Coordinating Committee (NOICC).

Funding History

Fiscal Year	Appropriation
1982	$ 8,536,073
1983	8,036,073
1984	8,177,963
1985	10,320,963
1986	9,706,823
1987	11,142,963
1988	25,800,963
1989	26,147,963
1990	23,154,963
1991	24,858,836

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Cooperative Demonstration Program has supported the high school graduation goal (Goal 2) through funding of dropout prevention projects in vocational education. The National Center for Research in Vocational Education has conducted a number of projects that support the academic achievement goal (Goal 3), including studies of the development of performance measures and standards and the integration of academic and vocational education including math and science (Goal 4). Other activities support the goal that every adult American will possess the knowledge and skills necessary to compete in a global economy (Goal 5).

Performance Indicators

NOICC. Occupational Information Systems and Career Information Delivery Systems supported by NOICC appear to be of relatively high quality and used extensively by State and local administrators (see Outcomes).

Demonstration Centers for Retraining of Dislocated Workers Program. The three centers funded in FY 1988 - FY 1990 have placement rates between 75 and 85 percent (see Outcomes).

Cooperative Demonstration Program. Dropout prevention projects are able to deliver services earlier when they are implementing a program model they know well. Familiarity with the model and issues requiring resolution facilitate effective implementation. Funding levels (proposed by grantees) were frequently insufficient to replicate comprehensive models (see Outcomes).

Services

The National Center for Research in Vocational Education (NCRVE) is a competitively awarded, nonprofit, university-affiliated entity designated by the Secretary of Education for a five-year period on the advice of a panel of nationally recognized experts in vocational education. NCRVE is charged with conducting applied research and development to improve vocational education. Activities include conducting projects that improve the quality of vocational education for targeted populations, by integrating academic and vocational education skills and by developing methodologies for emerging technologies; providing training for vocational education leaders; conducting policy-oriented studies to facilitate national planning; providing a clearinghouse for State-supported program improvement projects; developing evaluation and planning methodologies to help States evaluate and plan their programs; managing a dissemination program; and making an annual assessment of joint planning and coordination under the Carl D. Perkins Act and the Job Training Partnership Act (JTPA).

The National Occupational Information Coordinating Committee (NOICC) is made up of senior officials of the Departments of Agriculture, Commerce, Defense, and Labor, and four offices within the Department of Education. The NOICC cooperates with State agencies to develop and implement occupational information systems to meet a comprehensive range of planning, program administration, and career guidance needs.

Six regional Curriculum Coordination Centers (CCCs) coordinate the development and dissemination of curriculum and instructional materials. In FY 1991, 82,912 clients were served through dissemination of curriculum materials, special searches, technical assistance, and site visits. These services resulted in 1,605 adoptions or adaptations of curriculum products (III.11).

Discretionary Research Activities

- Under a contract entitled, "Training Future Vocational Teachers and Guidance Counselors," materials were developed to train future vocational teachers and guidance counselors to integrate basic academic skills content into occupational content areas.

Demonstration Programs

- The Demonstration Centers for the Retraining of Dislocated Workers Programs. Four centers have been established under this program. The first center, established in FY 1988 and located at Roxbury Community College in Boston, Massachusetts, focused on underserved populations (Hispanic, Chinese, and Southeast Asian displaced garment workers). This center was unable to continue operating after Federal funds expired. The second center, established in FY 1989 and located at Lorain County Community College near Cleveland, Ohio, focuses on training displaced manufacturing workers through the use of specially developed high-technology courseware. Although Federal funding has ceased for this project, the center continues to operate with funds from other sources. The third center was established in FY 1990 at Joliet Junior College in Joliet, Illinois. This project, with support from the Department of Labor, provides training and instruction to dislocated workers. Such services may include: outreach, recruitment, counseling, basic skills, vocational or technical training, evaluation and assessment of students' needs, support services, and job placement. A fourth center was established in FY 1991 and is managed by the Minnesota Board of Vocational Technical Education. Located at Dakota County Technical College, this center serves a clientele similar to that served by Joliet Junior College. Each demonstration center has established certain distinct objectives or theories that it will attempt to demonstrate.

- Cooperative Demonstration Programs. The 10 dropout prevention projects funded in FY 1989 under the Cooperative Demonstration program continued operations during FY 1991. The purpose of this program is to demonstrate exemplary approaches for encouraging vocational education students to remain in school or for encouraging dropouts to reenter school through vocational education programs.

  In FY 1990, the Cooperative Demonstration Program supported 30 new demonstration projects that focused on high-technology training at the secondary and postsecondary levels. The purpose of these projects was to demonstrate how vocational education students can successfully be taught high technology skills. An independent evaluation was conducted to determine the impact of these projects.

In FY 1991, the Cooperative Demonstration Program supported six new demonstration projects that focus on the building trades, especially masonry trades. The purpose of these projects is to develop regional model demonstration centers to create new training opportunties or expand or improve existing activities. All projects involve cooperation between the private sector and public agencies and are based on successful training programs in the building trades. Each regional demonstration center serves two or more States.

Outcomes

NCRVE. The National Center for Research in Vocational Education has completed research studies addressing:

> Vocational education for special populations, including the unique, multifaceted problems confronting rural and urban vocational education. These guides are intended to assist professionals to locate needed resources (III.5,6).
>
> Indicators of education and the economy, including long-term economic and demographic trends that raise concerns about the nation's ability to compete in the international economy and to sustain improvements in the national standard of living. Basic data on education and the economy are presented, aimed at providing a context for discussion of strategies for vocational education (III.3).
>
> Vocational teacher education as offered at U.S. colleges and universities, including where, when, what, how, to whom, and by whom vocational teacher education is provided (III.1).
>
> Models for integrating vocational and academic education, including identification and examination of eight integration models (III.7).

These studies, along with technical assistance to the field and a national teleconference on performance standards and measures and tech-prep programs, address current issues as mandated in the Perkins Act.

National Occupational Information Coordinating Committee (NOICC) and the State Occupational Information Coordination Committees (SOICCs). The Department completed a study in 1991 describing the activities of the NOICC/SOICC system, the quality of the data in the system, and the users of data from the system, based on FY 1987. The two key activities supported by NOICC are Occupational Information Systems (OISs) and Career Information Delivery Systems (CIDS). OIS assembles labor market information, drawing on occupational and educational information from various State and local sources, and disseminates information to State and local planners and administrators. NOICC disseminates career-related information through CIDS for private individuals to use in making personal job and educational decisions.

OIS databases include information on current and projected labor supply and demand determined by the States. Overall, the study found that data included in OIS databases appear to be of relatively high quality and consistent with the standards for supply and demand data. In four of the five States that were visited, the OIS databases appear to be used extensively by State and local administrators and program planners as well as school districts and schools.

CIDS were available at approximately 15,000 sites in 46 States across the country and used by more than 6 million people. Almost 75 percent of the CIDS sites were located at schools, colleges, and universities; other sites include State employment and training agencies, vocational rehabilitation agencies, libraries, correctional facilities, and community-based organizations. SOICCs are not required to operate CIDS or to adopt a particular CIDS vendor. Staff at three of five SOICCs visited that operated CIDS reported that no assistance had been received for the operation and maintenance of their CIDS. The other two sites visited did not operate CIDS, citing excessive costs and overemphasis on services for college-bound students (III.10).

High Technology Demonstration Projects. The Office of Policy and Planning is conducting an evaluation of Discretionary Cooperative Demonstration Program high-technology projects funded in FYs 1988 and 1989. The projects were authorized to increase access of special populations to high-quality programs, improve the transition from school to work, and provide suitable models for replication. The projects were also to demonstrate successful cooperation between the private sector and public agencies to teach vocational education skills through a variety of models, e.g., work experience and apprenticeship, work-site training, placement, and public works.

The first-year evaluation focused on 23 of the 36 projects funded in FY 1988 that responded to the priority of addressing high technology issues based either on the type of job for which training was offered or the nature of the training. The funded grant applications were rated on the logic of their design and the plausibility of achieving their objectives. Thirteen out of the 23 applications were considered to be successful or potentially successful. The predicted success of projects was compared with actual success based on the proposed numbers of students to be trained. The comparison revealed that the logic and plausibility of the project's application was not a good predictor of whether or not the project would meet its proposed targets. For both those projects rated most and least likely to succeed, two of three projects fell short of the targeted number of students to be trained. Among eight of the 23 projects that were visited, five were able to implement their proposed plan and met their goals and objectives. In seven of the eight projects, costs were reasonable for project outcomes (III.9).

For the second-year evaluation of projects funded in FY 1989, projects were chosen for site visits based on the type of partnership, degree of innovation in the partnership arrangement, and number of disadvantaged students served. The second report is scheduled for completion in 1992.

Dropout Prevention and Reentry Demonstration Projects. The Office of Policy and Planning is conducting a longitudinal study of dropout prevention projects funded in FY 1989 under the Discretionary Cooperative Demonstration Program. The first interim report, addressing project implementation, will be released in 1992. Grantees were authorized to replicate a dropout prevention model that had been found effective in other settings, adapt a locally developed model, or expand a project currently in operation in their district. Because of the timing of the grant awards in September 1989, many projects were unable to complete planning, staffing, and logistical arrangements required to fully initiate services during the 1989-90 school year. Projects in which the grant writer was not involved in the implementation of the program also took more time to get off the ground.

The findings suggest that districts are able to deliver services earlier if they are implementing models they know well. Familiarity with the model and issues requiring resolution at the State and local level facilitates effective implementation. When grantees did not have prior experience with the model they were implementing, features were sometimes found to be incompatible with State regulations. For example, one of the alternative school models that integrates academic and vocational education requires instructors to teach more than one subject, but regulations in some States require certification in all subjects taught, making it difficult or impossible to find qualified staff in the project location. Funding levels (proposed by grantees) were frequently insufficient to replicate comprehensive models. Strategies such as reducing class size, providing extra consultation and preparation time for teachers, and providing counseling for students, are expensive. The success of the projects in improving student outcomes will be the focus of the second interim report expected in 1992 (III.8.). The final report is scheduled for January 1993.

Demonstration Centers for Retraining of Dislocated Workers Programs. The Retraining of Dislocated Workers Centers collected placement and wage data for program completers. The Center at Roxbury Community College had an 81% placement rate with 85% of placements at a higher wage than the previous job. The Center at Lorain Community College had a 90% placement rate with average hourly wages between $6 and $8. Data from Joliet Junior College show a 75% placement rate with an average placement wage of $9.64. The Minnesota Center has placed 60 of 247 completers at an average wage of $12.42.

III. SOURCES OF INFORMATION

1. A National Database on Vocational Teacher Education (Berkeley, CA: National Center for Research in Vocational Education (NCRVE), 1991.

2. Curriculum Coordination Centers Impact Report for 1991 (Washington, DC: U.S. Department of Education, 1991).

3. Indicators of Education and the Economy (Berkeley, CA: NCRVE, 1991).

4. Results of the Fifth State Survey on Performance Measures and Standards (Berkeley, CA: NCRVE, forthcoming).

5. Selected Vocational Preparation Resources for Serving Rural Youth and Adults with Special Needs (Berkeley, CA: NCRVE, 1991).

6. Selected Vocational Preparation Resources for Serving Urban Adults with Special Needs (Berkeley, CA: NCRVE, 1991).

7. The Cunning Hand, the Cultural Mind: Models for Integrating Vocational and Academic Education (Berkeley, CA: NCRVE, 1991).

8. Evaluation of Dropout Prevention and Reentry Demonstration Projects in Vocational Education (Mountain View, CA: RMC Research Corp, forthcoming).

9. Evaluation of the Vocational Education High Technology Demonstration Projects, First Year Report (Washington, DC: Cosmos Corporation, July 1991).

10. Descriptive Review of Data on the National Occupational Information Coordinating Committee (NOICC) and the State Occupational Information Coordinating Committees (SOICCs). (Washington, DC: Pelavin Associates, February 1991).

11. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Richard F. DiCola, (202) 205-9962
		Joyce F. Cook, (202) 205-9761
Program Studies	:	Audrey Pendleton, (202) 401-3630

BILINGUAL VOCATIONAL EDUCATION PROGRAMS--DISCRETIONARY GRANTS
(CFDA Nos. 84.077, 84.099, 84.100)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational Education Act (P.L. 98-524), Title III, Part I (20 U.S.C. 2441). Although the Perkins Act was amended effective July 1, 1991, by the Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 (P.L. 101-392) (expires September 30, 1995), all programs under the Perkins Act addressed in this report operated in the final year before the amendments became effective.

Purposes:

- Bilingual Vocational Training (BVT) program: To provide bilingual vocational education and training and English-language instruction to persons with limited English proficiency (LEP) and to prepare these persons for jobs in recognized (including new and emerging) occupations.
- Bilingual Vocational Instructor Training (BVIT) program: To provide preservice and inservice training for instructors, aides, counselors, and other ancillary personnel participating, or preparing to participate, in bilingual vocational training programs for LEP persons.
- Bilingual Vocational Materials, Methods, and Techniques (BVMMT) program: To develop instructional and curriculum materials, methods, or techniques for bilingual vocational training for LEP persons.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1975	$2,800,000	1986	$3,527,000
1980	4,800,000	1987	3,686,000
1981	3,960,000	1988	3,734,000
1982	3,686,000	1989	3,771,000
1983	3,686,000	1990	2,959,000
1984	3,686,000	1991	2,887,962
1985	3,686,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Bilingual Vocational Training program supports adult literacy (Goal 5) through funding of education and training projects for those with limited Engish proficiency who also need occupational competency training.

Performance Indicators

Program files show that job placement rates for program participants range between 80 and 100 percent.

Population Targeting

One BVMMT award was made in FY 1990 with funds appropriated in FY 1989. That contract, "Community College Efforts for LEP Vocational Students," ran until June 1992. Nine new BVT and one new BVIT awards were made with FY 1990 funds. It was anticipated that nine continuation BVT and two new BVIT awards would be made with FY 1991 funds.

Management Improvement Strategies

Grantees are asked to submit their curriculum packages to a retrieval system so that other grantees can consult them. Grantees are also encouraged to share their findings through the development of resource handbooks and the accurate reporting of program results and accomplishments. Project directors meet periodically to share program strategies and information.

Outcomes

Studies conducted as part of the National Assessment of Vocational Education (NAVE) showed that vocational training for LEP adults varies considerably depending upon training objectives, vocational skill areas, and needs of the populations served. Services may generally be divided into three areas: a language component, a vocational component, and a support services component. The more comprehensive training programs offer services from all three components.

Based on six case studies of State and local policies and services, NAVE found that while vocational training services for adults and out-of-school youth are readily available in most areas, proficiency in oral English is generally required prior to enrollment along with basic reading, writing, and math skills (III.2). These entry criteria essentially exclude LEP adults. Those LEP adults who do apply are generally referred to English as a Second Language

(ESL) programs and are asked to re-apply when they can meet the vocational program's entry criteria. Vocational training specifically directed at LEP adults, which combines training in occupational and language skills, is less frequently available. Generally, it is administered by an agency or organization that has a special interest in serving that population, such as a refugee program or community-based organization with ties to a specific ethnic group.

III. SOURCES OF INFORMATION

1. Program files.

2. Fleishman, Howard L. and Willette, JoAnne. An Analysis of Vocational Training Needs and Services for Limited English Proficient Adults (Arlington, VA: Development Associates, Inc., November 1988).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Laura Karl, (202) 205-5565

Program Studies : Audrey Pendleton, (202) 401-3630

ADULT EDUCATION--GRANTS TO STATES
(CFDA No. 84.002)

I. PROGRAM PROFILE

Legislation: Adult Education Act, P.L. 91-230, as amended, (20 U.S.C. 1201 et seq.) (expires September 30, 1995).

Purpose: To improve educational opportunities for adults and to expand and improve the delivery system for adult education services that enable educationally disadvantaged adults to acquire the basic literacy skills necessary for literate functioning, to profit from employment-related training, obtain or retain productive employment, and complete secondary school.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$26,280,000	1985	$101,963,000
1970	40,000,000	1986	97,579,000
1975	67,500,000	1987	105,981,000
1980	100,000,000	1988	115,367,000
1981	122,600,000 1/	1989	136,344,000
1982	100,000,000	1990	157,811,000
1983	86,400,000	1991	201,032,000
1984	95,000,000		

1/ Includes one-time funding of $5 million for services to Indochinese immigrants and refugees and $17.6 million for services to Cuban and Haitian entrants.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

All the services provided by this program contribute to adult literacy and citizenship skills (Goal 5). In addition, by assisting adults to earn high school diplomas, the program's Adult Secondary Education component contributes to Goal 2, increasing the high school graduation rate.

Population Targeting

The Adult Education State-Administered Basic Grant program continues to target its services on adults with less than a high school education. Census data (1980) indicate that 51.8 million persons comprise this target population, of which 5.2 million failed to go past the fifth grade. The program, through a cooperative effort between the States and the Federal government, offers persons 16 years of age or older or who are beyond the age of compulsory school attendance under State law, the opportunity to attain reading, writing, and computational skills through the secondary school level of competence. Opportunities are also provided for adults to overcome English-language deficiencies.

States must give preference to local service providers who have demonstrated or can demonstrate a capability to recruit and serve educationally disadvantaged adults. This group of adults is defined generally as those who demonstrate basic skills equivalent to or below the fifth-grade level.

The Adult Education Act directs special attention to programs for incarcerated and other institutionalized adults, by requiring that each State use at least 10 percent of its Federal grant for this population.

Two new national discretionary grant programs for the correctional population were included in the National Literacy Act of 1991. These programs will provide funds to State and local correctional agencies to develop and implement a functional skills program or a life skills program for the adult correctional population.

Services

For FY 1990, the latest year for which data are available, States reported serving 3.6 million adults. Sixty-nine percent of these participants were in level I (below grade 8 and English-as-a-Second-Language programs). Nearly 70 percent of the expenditures are directed at this level. Instruction was provided by approximately 9,000 full-time and 70,000 part-time teachers. Over 93,000 literacy volunteers participated, over two-thirds of whom served as tutors. The remaining volunteers served in various supportive roles, providing outreach, transportation, child care, and clerical services. States continued their efforts to improve the quality of instructional services through special experimental demonstration projects and teacher training projects. Projects trained administrators, supervisors, teachers, and paraprofessionals.

Program Administration

Programs of adult education are administered by State education agencies and, in five States, by community college boards. Local projects, conducted by local education agencies and by public or private agencies, organizations, and institutions, are approved by States on the basis of need and resources available. The State agency is responsible for providing federally required plans and reports, reviewing and processing applications from local deliverers of adult education services, coordinating programs serving adults, providing technical assistance, and evaluating local programs.

While only 10 percent was required, State contributions in FY 1990 for adult education amounted to over 80 percent of total program expenditures, or more than four times the Federal contribution. Nationally, costs per participant average over $212. Most States report somewhat higher average costs for level I participants. Average costs for adults who persist in the program long enough to make substantial learning gains are undoubtedly much higher.

Outcomes

Information from annual performance reports submitted by the States (III.2) indicates the following educational and economic outcomes:

- A total of 206,952 participants passed the General Educational Development (GED) test.
- Another 67,003 participants received adult high school diplomas.
- Over 206,898 entered another education or training program.
- Over 10,597 participants received U.S. citizenship.
- Jobs were obtained by approximately 120,800 participants who had previously been unemployed.
- Approximately 105,700 participants obtained a better job or a salary increase after instruction.
- Over 28,020 participants were removed from public assistance rolls.

Management Improvement Strategies

Strategies for program improvement resulting from the National Literacy Act of 1991 include:

- Creation of a National Institute For Literacy. The Institute will be administered under the terms of an interagency agreement among the Secretaries of Education, Labor, and Health and Human Services. The major activities of the Institute will be: research; technical assistance and training; dissemination of information with respect to promising practices; and assistance in the development of performance standards and measures and identification of ways to achieve uniformity of reporting requirements.

- Creation of State/Regional Literacy Resource Centers. The Centers will provide a link between the National Institute and local programs. They will improve and promote diffusion and adoption of exemplary teaching methods, technologies, and adminstrative practices.

- Establishing indicators of program quality. States must, within two years, develop a system of indicators of program quality to be used to judge the effectiveness of local programs of instruction.

- Evaluation of grantee performance. States must evaluate 20 percent of grant recipients each year of the State Plan period.

- Setting criteria for renewal of grants. Additions to the criteria used by States to allocate Federal funds to local grant recipients include past program effectiveness with respect to recruitment, retention, and literacy gains of program participants, the degree of coordination with other literacy and social services, and commitment to serving those most in need.

- Increasing set-asides. The State set-aside under Section 353 of the Act for innovative and demonstration projects and teacher training is increasing from 10 percent to 15 percent, with two-thirds of that amount to be used for teacher training.

- Exapnding advisory councils. The Act broadened the membership and increased the responsibilities of State advisory councils on adult education and literacy.

- Requiring long-term measurable goals. The new Act requires States to include in their State Plans for adult education measurable goals for improving literacy levels, retention, and long-term learning gains of participants.

III. SOURCES OF INFORMATION

1. Adult Education Act.

2. Program regulations (34 CFR, Parts 425 and 426).

3. Annual Performance, Financial, and Evaluation Reports submitted by States.

IV. PLANNED STUDIES

The following new projects or types of projects were proposed under the National Programs authority in the FY 1992 budget request:

- Large-scale studies to validate models of effective adult education programs. The design conference, which took place in March 1992, plus findings from other studies under way, will provide guidance in this area. It is likely that studies will involve randomized experiments and/or longitudinal data collection in order to compare standard versus promising programs in a particular area, such as programs for low-reading-level participants. Evaluations that assess program effectiveness will be coordinated with any related activities implemented by the National Institute for Literacy.

- Evaluation of Workplace Literacy Partnerships projects. This study will assess the impact and effectiveness of projects funded under the Workplace Literacy Partnerships Program with an emphasis on identifying and validating exemplary programs and practices. This activity will involve placing increased data collection and reporting requirements on the projects, plus a national evaluation contract to provide guidance and technical assistance to all of the projects as well as analysis and reporting of the data.

- A national conference to discuss approaches for using volunteers effectively in adult education programs and to identify areas in which the Federal and State governments can provide help. The conference will focus especially on issues of management and training that bear on the effectiveness of volunteers.

- Technical assistance projects to work with State education agencies. Rather than fund general technical assistance centers addressing a wide variety of topics, the Department has proposed to fund specific projects of limited duration.

  -- States are required by amendments to the Adult Education Act in 1988 to collect and report additional evaluation data on local programs. In FY 1992, the planned technical assistance project would build on the two earlier development and technical assistance projects and provide continued assistance to States in improving their evaluation data systems.

  -- Section 353 of the Adult Education Act allows States to set aside up to 15 percent of their grants for innovative projects and teacher training projects. Using FY 1991 funds, ED is funding a project to develop designs for assessing program effectiveness and is also planning to assess the impact of the State set-aside programs. FY 1992 funds would fund a two-year technical assistance program that would help States improve the quality of this program. The project would build upon the design conference and on findings from the National Evaluation of Adult Education Programs as they become available.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ron Pugsley, (202) 205-9872

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ADULT EDUCATION--NATIONAL PROGRAMS

(No CFDA No.)

I. PROGRAM PROFILE

Legislation: Adult Education Act, Part D, P.L. 91-230, as amended (20 U.S.C. 1212a-c) (expires September 30, 1993).

Purpose: To conduct evaluation studies and provide assistance to States in evaluating the status and progress of adult education. Projects and studies funded provide information needed for national policy-making and for State and local program improvement.

Funding History

Fiscal Year	Appropriation
1988	$1,915,000
1989	1,976,000
1990	1,973,000
1991	2,927,587

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The evaluation studies and technical assistance activities performed under Adult Education National Programs directly support Goal 5, adult literacy, and Goal 2, high school completion.

Services

Adult education is a field in which there are now a number of evaluation and technical assistance activities underway to provide information needed by policy makers at all levels; by local, State, and Federal program administrators; and by researchers. Studies and projects covering a broad range of topics and concerns have been funded under Adult Education National Programs (Section 383 of the Adult Education Act) as well as the Department of Education's general research authority.

Three offices have been involved in these efforts -- the Office of Vocational and Adult Education (OVAE), the Office of Policy and Planning (OPP), and the Office of Educational Research and Improvement (OERI). In addition, collaborative activities and studies have started with the Departments of Labor, and Health and Human Services. Beginning in 1992, the new National Institute for Literacy will support a variety of research, development, and information dissemination projects, complementing activities started earlier by the other offices.

All of the activities funded so far under Adult Education National Programs may be grouped into four categories:

1. Descriptive studies (case studies, descriptive surveys, secondary data analyses).
2. Impact evaluations of Federal programs.
3. Studies that identify effective practices and programs ("what works").
4. Technical assistance to States to improve evaluation capability and for program improvement.

The history of past efforts under Adult Education National Programs is as follows:

-- *FY 1989 -- Initial Efforts* . A number of small, descriptive studies funded by OPP and OVAE provided literature reviews and collection of descriptive information on adult education programs and services. Two national studies were started -- the national survey of adult literacy administered by OERI, and a review administered by OPP of all Federal adult basic skills programs jointly funded by the Departments of Education, Labor, and Health and Human Services.

-- *FY 1990 -- Critical Gaps Starting to be Filled*. Gaps in knowledge about adult education programs and participants continued to be addressed. A third national study was funded -- the National Evaluation of Adult Education Programs, a four-year longitudinal study administered by OPP which will describe and assess adult education programs and participants. Also, a two-year project was funded by OVAE to identify promising adult education teacher-training programs and develop descriptions of model programs for use by practitioners. In addition to these new efforts, several smaller studies were started, and earlier studies were continued.

-- *FY 1991 -- New Evaluations and Increased Technical Assistance to States*. By 1991, the Department was supporting continuation costs of several large studies, continued to fund smaller studies in areas not addressed before, and began more projects to provide technical assistance to States, especially in areas of evaluation and accountability.

A table follows that lists all studies and projects funded under Adult Education National Programs, from the program's beginning to the end of 1991. The table includes the total estimated for each project, and provides a distribution of estimated continuation costs in future years as well.

Fiscal year 1991 funds were available for obligation starting July 1991 and could be carried over and awarded during FY 1992 (October 1991 - September 1992) as well. This explains why the appropriation amount for FY 1991 is higher than the amount actually obligated during that year. Planned procurements for FY 1992 and FY 1993 cannot be listed until they are in process.

The status of all studies and projects awarded under Adult Education National Programs, from the beginning of the program in FY 1989 to the end of 1991 is described below. Unless otherwise indicated, final reports are available for the projects.

Effective Practices and Programs

Field-initiated research in adult education. Six applied research projects were funded in a competition for field-initiated research during FY 1988. All six involved application of technology to adult basic education instruction. Final reports are available for the first five.

-- **Developing literacy through whole language in ABE** (Ashtabula County Adult Basic Education Program, Jefferson, Ohio). This project developed an instructional curriculum using the whole-language approach to teaching reading, and evaluated its effectiveness compared to the individualized workbook-based approach.

-- **A comparative study of adult education** (Opportunities Industrialization Center, Indianapolis, Indiana). Two methods of adult education were compared to determine relative effectiveness -- classroom instruction and computer-assisted instruction.

-- **Project PROVE: Probationers/Parolees Realize Opportunities via Education** (Jefferson County Public Schools, Adult and Continuing Education Program, Louisville, Kentucky). A State project was replicated and expanded, incorporating applied research to evaluate a variety of instructional approaches including computer-assisted instruction.

-- **Older displaced workers Write to Read** (Pennsylvania State University, University Park, Pennsylvania). The Institute for the Study of Adult Literacy developed and tested a computer-assisted basic skills program involving a process approach to writing.

-- **Computer speech devices for adult literacy skills** (St. Paul Public Schools, St. Paul, Minnesota). The Technology for Literacy Center developed and evaluated a prototype computer-based program with input and output speech capabilities to assist learners with work pattern recognition.

-- **Research in education for adult literacy** (University of Tennessee, Knoxville, Tennessee). This project tested the use of microcomputer software that uses a voice component to teach reading to illiterate adults and compares its effectiveness to two

Adult Education National Programs: Evaluation and Technical Assistance

	FY 1988 Actual	FY 1989 Actual	FY 1990 Actual	FY 1991 Estimates	FY 1992 Continuations	FY 1993 Continuations	Total
Effective Practices and Programs (what works)							
Field-Initiated Research Projects (6 studies)	$413,000	---	---	---	---	---	$413,000
Small Business Innovation Research (MS and CO)	87,000	200,000	198,931	---	---	---	485,931
ABE/ESL Teacher Training Project	---	301,121	426,069	179,286	---	---	906,476
National Impact Studies (effects of Federal programs)							
National Evaluation of Adult Education Programs	---	495,000	866,100	1,036,900	442,000	---	2,840,000
JOBS Evaluation	---	---	---	393,117	428,393	538,263	2,235,713
Descriptive Studies (case studies, descriptive surveys, etc.)							
Migrant Farmworkers Education Project	325,000	---	---	---	---	---	325,000
Case Studies of Local Adult Education Programs	125,000	---	---	---	---	---	125,000
Study of Instructional Materials and Training	150,000	---	---	---	---	---	150,000
Secondary Data Analyses (NAEP)	40,000	---	---	---	---	---	40,000
Review of Adult Education State Data	50,000	---	---	---	---	---	50,000
National Adult Literacy Survey -- NALS	600,000	800,000	---	400,000	---	---	8,240,000 1/
Joint Study of Adult Education Programs	125,000	9,425	---	---	---	---	259,425 2/
Workplace Literacy Program Review	---	119,554	---	---	---	---	119,554
National Volunteer Organizations Review	---	---	79,894	---	---	---	79,894
Adult Education for the Homeless Review	---	---	---	175,000	---	---	175,000
Technical Assistance (to improve capability)							
Sticht: Adult Student Assessment Paper	---	9,900	---	---	---	---	9,900
JOBS Technical Assistance Project	---	41,000	59,000	100,000	100,000	---	300,000
State Evaluation Assistance Project	---	---	202,900	---	---	---	202,900
General Design Guidance for Effectiveness Evaluations	---	---	137,106	---	---	---	137,106
Evaluation Guidance for Workplace Literacy Projects	---	---	3,000	---	---	---	3,000
State Indicators of Program Quality Support	---	---	---	150,000	---	---	150,000
Sticht: Workplace Literacy Programs Evaluation	---	---	---	4,900	---	---	4,900
Field Test of State Evaluation Model	---	---	---	250,000	---	---	250,000
Total Awarded by 1991 or Needed for Continuation Costs	$1,915,000	$1,976,000	$1,973,000	$2,689,203	$970,393	$538,263	$17,502,799
Appropriation	$1,915,000	$1,976,000	$1,973,000	$2,927,587	$4,000,000	$4,000,000	

1/ Study total includes non-AEA funds for FY 1990 and beyond.

2/ Study total includes $75,000 from the Department of Labor and $50,000 from Health and Human Services.

traditional approaches--the Literacy Volunteers of America and Laubach methods of instruction.

Three applied-research studies were given small planning grants through the Federal **Small Business Innovation Research program**. The projects focused on the use of technology in adult education instruction. Two of the projects received funding in FY 1989 to implement the designs developed in the planning grant.

- **The Ready Course, an Interactive Videodisc Assisted Reading Program** (Applied Interactive Technologies, Inc., Jackson, Mississippi). This project focused on the innovative use of technology in adult literacy and basic skills instruction. The grantee designed and developed an interactive videodisc training program that addresses 5th, 6th, and 7th grade reading-level skills.

- **Incorporating Audio Support into English Composition CAI for Adult Education Learners** (Applied Research Associates, Inc., Lakewood, Colorado). This project designed a basic English composition curriculum for adult basic education students. The system was tested in a computer-assisted, audio-supported format using IBM-compatible computers with an audio tape deck as the method of instruction.

ABE/ESL Teacher Training Project (Pelavin Associates, Inc., Washington, D.C). This project involves a comprehensive examination of training for adult-basic and English-as-a second-language teachers and volunteer instructors. The study is being conducted in two phases. The first phase, completed in February 1991, involved a review of State and local training activities, identification of key elements of staff development, and the development of recommendations for preparing training materials. Reports available from that component of the study include:

- A "profiles" report describing States' adult education teacher training programs and structure
- Descriptive review: "The Delivery and Content of Training for Adult Education Teachers and Volunteer Instructors"
- Descriptive review: "Key Elements of Adult Education Teachers and Volunteer Training Programs"
- Technical report on first phase

Instructional guides for providing staff development are being developed during the second phase of the study and will be field-tested with teachers and volunteer instructors. These materials will be disseminated through a series of workshops to be attended by representatives from each State. The final report for the second phase will be available in summer 1993.

National Impact Studies

National Evaluation of Adult Education Programs. The National Evaluation of Adult Education Programs, a longitudinal survey of adult education participants and comprehensive survey of adult education programs, will provide a nationally representative description and assessment of adult education programs. The study started in August 1990 and will be completed in 1994.

- The first interim report will be available September 1992. It will provide nationally representative or universe data that describe adult education programs, instructional and administrative practices, client populations, and local director and instructor characteristics.
- Key findings from the longitudinal survey will be provided in January and December 1993 interim reports. The final report, due in 1994, will provide a summary of all descriptive data collected, findings and conclusions based on the longitudinal survey, and options for future analysis and research.
- The study will also provide three valuable data bases: a universe survey of service providers; comprehensive project profiles for a sample of 130 providers; and background and participation data for about 25,000 clients -- for use by researchers and evaluators. The universe survey data base is currently available from the contractor on diskette along with a codebook.
- The study will sponsor a national conference to discuss findings and implications, and will produce options for future research. Public-use data files on service providers and clients will be available in 1994.

JOBS Evaluation, Adult Education Study. The JOB Opportunities and Basic Skills Training program (JOBS) provides recipients of Aid to Families with Dependent Children with opportunities to take part in education, job training, and work activities intended to promote employment and self-sufficiency. The Department of Health and Human Services has funded a major study using experimental design to evaluate the effectiveness of different strategies for implementing JOBS in nine sites, as well as provide an assessment of the overall effects of the program.

The Adult Education component funds collection of educational achievement data on JOBS participants in three sites with 20 to 30 adult education programs, doubling of the sample size to permit more detailed analysis, and collection of information on the nature and quality of adult education programs serving highly disadvantaged clients.

Evaluation questions for this component include:

- How do literacy training, occupational skills training, work experience, or immediate job search assistance compare in their effects on outcomes such as employment, earnings, and welfare dependency?

- Do some subgroups benefit more than others from adult education?

- What are the characteristics and client participation patterns for adult education providers serving JOBS clients? Is there a relation between the quality of program offerings or other provider characteristics and outcomes for the clients?

Because many of the JOBS sites refer their clients to programs funded with Adult Education Act funds, the findings from this study will have applicability not only to adult education in general, but to the Department's State Adult Education Grants program as well. The final report is due in 1997.

Descriptive Studies

The Education of Adult Migrant Farmworkers. This study developed a "one-stop" compilation of information, theory, practice, and references on adult education for migrant farmworkers for use by program administrators, researchers, and teachers. The study involved review of the literature, analysis of State plans, and case studies of nine local projects. Two reports are available. The first describes the adult migrant farmworker population, results of the site visits, and provides descriptions of promising strategies for outreach, recruitment, and retention, support services, instructional course outlines and methods, family and community involvement practices, and evaluation. The second report provides a practical "user-friendly" handbook for use by classroom teachers, including sample course outlines.

Case Studies of Local Adult Education Programs. This study involved a review of available research literature and case studies of nine "typical" adult education programs to describe program services, funding, coordination with other programs, and problems. The report provides a description of typical adult education programs and discusses issues of concern among local program directors.

Description of Adult Education Instruction. This study involved a review of the research literature with respect to adult education instruction, including the content of adult education curriculum materials and basic teacher training practices. The study focused on adult basic education and English-as-a-second-language programs. Selected experts reviewed widely available materials commonly used by adult education programs for content and appropriateness.

Analysis of Data from the National Assessment of Education Progress' (NAEP) Young Adult Survey. Data from NAEP's young adult survey were analyzed in a small study to assess the usefulness of the screening instrument in predicting low-end literacy and to review technical features of the tests and sample used in the NAEP assessment.

Review of Adult Education Data Systems. The report from this small study provided information on State data collection systems, including information on the completeness of State data submissions to the Department, description of State procedures for collecting and reporting data, and recommendations for data collection.

National Adult Literacy Survey (NALS). This national study will assess a nationally representative sample of adults to develop a comprehensive description of literacy in the United States. Information will be provided on: (1) document literacy, or the ability to use literacy skills in interpreting documents; (2) quantitative skills, and (3) prose literacy. The study started with preliminary studies to define minimum literacy skills, test instruments and field procedures, and prepare a sample design. In 1991, the study was amended to include a special sample of corrections inmates, a major client group for adult education services. The actual survey, both in regular households and in corrections institutions, will be conducted by the end of summer 1992. The final report is due September 1993.

Joint Study of Federal Funding Sources and Services for Adult Education Programs. This study collected and synthesized information about 85 adult education programs in 12 Federal agencies that support literacy, basic skills, English as a second language education, and/or adult secondary education. The resulting first phase report provided comprehensive information on Federal support for adult education.

In a second component, the study collected information about the need for program coordination among Federal, State, and local programs of adult education, through telephone interviews and five case studies in local sites. This report included information on promising State and local strategies for improving coordination, impediments to interagency coordination, options for improving coordination, and case study descriptions.

The study was jointly funded by the Departments of Education, Labor, and Health and Human Services.

Review of the Workplace Literacy Partnership Program. This study reviewed the Department's Workplace Literacy Program. Study activities included review of research on workplace literacy, including projects funded by the Department of Labor. The project identified possible components of effective workplace literacy programs and provided recommendations for improving program effectiveness. The report also provided a critique of evaluation components of the local projects.

Review of the Adult Education for the Homeless Program. This study will provide a detailed description and analysis of the Adult Education for the Homeless Program, including examination of the range of literacy skills among Federal program participants, description of typical program services, and identification of barriers to program implementation, evaluation, and delivery of services. The contractor is conducting surveys of the services provided by all State programs and local grantees. The final report is due May 1993.

Descriptive Review of National Volunteer Organizations

Although the use of volunteers is viewed as an important feature in adult education programs, not much is known about volunteers, their needs for training, and the most effective ways to use them. This study provided a descriptive review of the two major adult education volunteer organizations, Literacy Volunteers of America and Laubach Literacy Action. Small case studies were conducted on selected local affiliates with promising practices. The final report included recommendations for improving and expanding volunteer recruitment, training, management, coordination with social service providers, and evaluation. The report also included descriptions of the programs and structures of the two national organizations along with the case studies of local affiliate programs, and offered suggestions for future research directions.

Technical Assistance

Testing and Assessment in Adult Basic Education and English-as-a-Second-Language Programs. This paper reviewed standardized tests used in adult basic education and English-as-a-second-language programs, critiqued eight widely used tests, and discussed special topics in the use of tests for diagnostics and evaluation.

JOBS Technical Assistance Project. JOBS requires coordination between education, training, and employment programs in the States implementing the program. The Department of Education, along with the Department of Labor, is providing support for a Department of Health and Human Services project for technical assistance to State and local officials in operating and improving their JOBS program. The contractor has provided technical assistance in four areas: program design, coordination, agency structural and cultural change, and how to market the JOBS program. Technical assistance in these areas has been provided through regional workshops, conferences, and handbooks. On-site technical assistance is also being provided to a number of States. This project will continue through September 1993.

State Evaluation Assistance Project. Section 352, Evaluation, was added to the Adult Education Act in the 1988 amendments. State plans for Adult Education Act State Grants must be submitted to the Department every four years. Section 352 requires States to (1) annually report data on grant recipients, (2) evaluate the effectiveness of the operations of at least one-third of the programs funded within that four-year period, and (3) collect and analyze data, including standardized test data, on the effectiveness of their programs overall, within that four-year period.

A project was funded in 1991 to develop materials and guidance and provide technical assistance and training to State administrators in implementing the new evaluation requirements of the law. The contractor reviewed current State efforts as well as the relevant research literature and consulted extensively with State and local administrators.

A major product from the project was development of an evaluation framework for use by State administrators. The framework is a guide for planning and conducting evaluation of different aspects of the State adult education program. It provides three levels of evaluation with increasing rigor and resource requirements; the basic level provides the minimum data needed for compliance with the Federal evaluation requirements; the optimal level uses the most rigorous methodology and would produce the highest quality data. The framework addresses evaluation of program context, program processes, and program outcomes. The report on this framework is available.

General design guidance for effectiveness evaluations. In response to widespread concern about the need to identify, validate, and disseminate exemplary adult education programs and practices, a project was started in 1991 to hold a design conference on program effectiveness assessment with adult education researchers, evaluators, and practitioners as well as general methodological experts and Federal administrators. The purpose of the meeting was to discuss issues and methodology for evaluation studies to identify and validate effective adult education practices and programs. The studies contemplated would involve validation of specific models and replication in a variety of sites to ensure that they are suitable for adoption widely, not just identification of promising practices or models validated only in one or two sites.

Papers were given by adult education university researchers, by evaluation contractor project directors for major national studies in adult education, and by general evaluation methodology experts. The study topic areas discussed covered the following areas:

-- Programs for adult low-level learners.
-- Programs for ESL learners who are not literate in their own language.
-- Learner-centered programs compared with programs that have specified goals and criteria.
-- General academic programs with functional/competency-based programs.
-- Effective workplace literacy programs.
-- Lessons from the implementation of the first national evaluation of adult education programs.

The final report will be available in fall 1992.

Evaluation Guidance for Workplace Literacy Programs. This paper discussed evaluation concerns and provided an evaluation framework for grantees or potential grantees of the National Workplace Literacy Program. The process of evaluation described was also intended to help program operators evaluate their programs and gain data needed for improvements in management and instruction.

III. SOURCES OF INFORMATION

1. Program files

2. Progress and final reports from various studies.

IV. PLANNED STUDIES

(See Section II.)

V. CONTACTS FOR FURTHER INFORMATION

Program operations : Ron Pugsley, (202) 732-2398

Program studies : Nancy Rhett, (202) 401-3630

ADULT EDUCATION FOR THE HOMELESS PROGRAM
(CFDA No. 84.192)

I. PROGRAM PROFILE

Legislation: Title VII-A of the Stewart B. McKinney Homeless Assistance Act, as amended (42 U.S.C. 11421) (expires September 30, 1993).

Purpose: To provide discretionary grants to State education agencies to enable them to implement, either directly or through contracts or subgrants, programs of basic skills remediation and literacy training for homeless adults.

Funding History

Fiscal Year	Appropriation
1987	$ 6,900,000
1988	7,180,000
1989	7,094,000
1990	7,397,000
1991	9,759,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Adult Education for the Homeless Program supports Goal 2, high school completion and Goal 5, adult literacy. A significant proportion of the homeless population have difficulty applying basic literacy skills to adult life challenges and responsibilities. Many have failed to complete secondary school.

Population Targeting

Services are provided to adult homeless individuals who are 16 years of age or over and not enrolled in school. The Department encourages applicants to target a subpopulation of homeless individuals sharing common characteristics, such as homeless mothers with children, homeless alcoholic men, or the chronically mentally ill homeless.

Services

In the past year, approximately 30,000 homeless adults were served. Adult education services are provided to help homeless adults increase their employability, earn a GED or some other type of adult diploma, or reach personal or economic objectives. In FY 1991, 35 grants were awarded.

Examples of funded services include basic literacy training, English-as-a-Second-Language training, family literacy, life-coping skills, and employability training (such as reading want ads, preparing resumes, and filling out application forms).

Programs are required to develop cooperative relationships with other service agencies to provide an integrated package of support services addressing the most pressing needs of homeless individuals at or through the project site. Examples of appropriate support services provided through coordination include: assistance with food and shelter, alcohol and drug abuse counseling, individual and group mental health counseling, child care, case management, job skills training, and job placement. Outreach services to recruit homeless persons to participate in the program must also be included in each project.

Program Administration

By statute, only State education agencies are eligible to apply for the program. States compete for funds, and those that are funded make subgrants to local education agencies, community colleges, and shelter providers to provide literacy training to homeless adults. An evaluation component is built into each project.

Management Improvement Strategies

A number of States are producing materials on how best to provide literacy and basic skills services to the homeless. These manuals and curriculums developed specifically for use with homeless adults will be shared among States.

Two workshops are conducted each year by the Department of Education's Division of Adult Education and Literacy for State coordinators of adult education for the homeless.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

1. Summary information prepared by Department staff on the first year of program operations was available in December 1990.

2. A descriptive review of the Adult Education for the Homeless Program was begun in winter 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Jim Parker, (202) 205-5499
Paul Berb, (202) 205-5864

Program Studies : Sandra Furey, (202) 401-3630

ADULT EDUCATION--NATIONAL WORKPLACE LITERACY PROGRAM
(CFDA No. 84.198)

I. PROGRAM PROFILE

Legislation: Adult Education Act, Part C, Section 371, P.L. 91-230, as amended by the National Literacy Act of 1991, P.L. 102-73, (20 U.S.C. 1211) (expires September 30, 1993).

Purpose: To support effective partnerships between education organizations and business and community groups for adult education programs that provide literacy training to meet workplace needs.

The National Workplace Literacy program funds competitive demonstration grants for programs involving partnerships between business, industry, labor organizations, or private industry councils and education organizations, including State education agencies, local education agencies, and schools, (including area vocational schools and institutions of higher education), employment and training agencies, or community-based organizations. Each partnership must involve at least one business, industry, or labor organization, or private industry council, and at least one education partner listed above.

Funding History

Fiscal Year	Appropriation
1988	$ 9,574,000
1989	11,856,000
1990	19,726,000
1991	19,251,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The National Workplace Literacy Program supports Goal 5 to achieve adult literacy and citizenship skills, through funding of workplace projects that provide adult literacy training.

Population Targeting

This program serves adults who need to improve their literacy skills to improve job performance. The U.S. Bureau of the Census reported that in 1987, there were 87,700,000 adults, ages 25 to 64, who were employed. Of these, 12,297,000, or 14 percent, had not completed high school. In fact, 2,576,000 or 3 percent, had completed less than the 8th grade (III.1).

In addition, data from the English Language Proficiency Survey and the National Assessment of Educational Progress indicate that many adults who have completed high school do not have 12th-grade literacy skills. More than 20 percent of high school graduates and more than 40 percent of dropouts were unable to score more than 250 points on the National Assessment of Educational Progress test in 1985 (III.3). Estimates indicate that this represents no more than a 7th-grade reading level.

Services

Projects must provide services that relate directly to the improvement of literacy skills needed in the workplace. These may include adult basic education; adult secondary education; English-as-a-Second-Language (ESL) training; education to upgrade basic literacy skills to meet changes in workplace requirements or processes; education to improve speaking, listening, reading, and problem solving; and support services for those receiving basic skill instruction including education counseling, transportation, and child care.

This program was funded for the first time in FY 1988. There is considerable interest in the program on the part of education organizations and business partners, and many more highly rated applications were received than could be funded. In September 1988, $9.5 million in competitive grant awards were made for 37 projects in 25 States and the District of Columbia. In April 1989, $11.9 million in competitive grant awards were made for 39 projects in 26 States and the District of Columbia. Awards for FY 1990 were made in March 1991 when $19.7 million in competitive grant awards were made to 73 projects. Awards for FY 1991 were made in late winter 1992.

Awards were made primarily to public organizations, including community colleges, colleges, and universities; State and local education agencies; and community-based organizations. Each award involved one or more business or labor partners as well.

Of the 73 FY 1990 projects funded:1/

- o 59 percent had a manufacturing partner;
- o 25 percent had a labor partner;
- o 15 percent had a hospital or nursing home partner; and
- o 10 percent had a hotel partner.

1/ Percents exceed 100 since some projects had more than 1 partner. Announcements of FY 1991 funding for program year 1992 had not been made at the time of this report.

Projects included training in such areas as:

- -- basic skills for workers who deal with dangerous equipment so they can heed warnings and ensure worksite safety;

- --math skills for accurate blueprint reading to prevent costly mistakes;

- -- literacy training for entry-level hospital food service workers so that critical diet and fasting requirements can be observed for patient health; and

- -- English-as-a-Second-Language training related to literacy requirements of workplaces such as hotels.

More than half the new projects funded offered release time for literacy training. Nearly two-thirds of the projects had an ESL component.

III. SOURCES OF INFORMATION

1. Education Attainment in the United States: March 1987 and March 1986 (Washington, DC: U.S. Bureau of the Census, Current Population Reports, Series P-20, No. 428, August 1988).

2. Audrey Pendleton, "Young Adult Literacy and Schooling." (Washington, DC: U.S. Department of Education, National Center for Education Statistics, October 1988).

3. A Review of the National Workplace Literacy Program (Washington, DC: U.S. Department of Education, 1991).

4. Program files.

IV. PLANNED STUDIES

An evaluation of the National Workplace Program is planned within the next year to identify and validate effective workplace literacy programs and practices.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Sarah Newcomb, (202) 732-2272

Program Studies : Sandra Furey, (202) 401-3630

ADULT EDUCATION--STATE-ADMINISTERED ENGLISH LITERACY PROGRAM
(CFDA No. 84-223)

I. PROGRAM PROFILE

Legislation: Adult Education Act, Title III-C, Section 372, as revised by P.L. 100-297, (20 U.S.C. 1211a) (expires September 30, 1993).

Purpose: This program provides funds for establishing, operating, and improving English literacy programs of instruction that are designed to help limited-English proficient adults and out-of-school youths achieve full competence in the English language. Funds may also be used to provide support services for program participants, including child care and transportation.

Funding History

Fiscal Year	Appropriation
1989	$4,446,000
1990	5,299,000
1991	0

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program furthers Goal 5 of the national goals by promoting adult literacy for limited-English-proficient adults and out-of-school youths.

Program Administration

In FYs 1989 and 1990, Federal grants were made to designated State education agencies under a formula based on Census data on the number of individuals who generally do not speak English very well. Local education agencies, community-based organizations with demonstrated capability to administer English-proficiency programs, and other public or private nonprofit agencies, organizations, and institutions were eligible for subgrants.

For FY 1991, $976,000 were appropriated for Title III-C, Section 372 (d), but were not used for the State-administered English Literacy Program. These funds were used for national demonstration activities including:

(1) projects that demonstrated innovative approaches and methods of teaching basic literacy skills to limited-English-proficient adults; and

(2) a national clearinghouse on literacy education for adults with limited English proficiency.

III. SOURCES OF INFORMATION

1. Annual Peformance and Financial Reports submitted by the States.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ron Pugsley, (202) 732-2273

Program Studies : Nancy Rhett, (202) 401-3630

TECHNOLOGY EDUCATION DEMONSTRATION PROGRAM
(CFDA No. 84.230)

I. PROGRAM PROFILE

Legislation: Omnibus Trade and Competitiveness Act of 1988, P.L. 100-418, Title VI, Subtitle B, Chapter 2, Section 6112, (20 U.S.C. 5101-5106) (expires September 30, 1995).

Purpose: The Technology Education Demonstration Program provides assistance to education agencies and institutions in developing a technologically literate population through instructional programs in technology education.

Funding History

Fiscal Year	Appropriation
1990	$988,000
1991	963,987

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Technology Education Demonstration Program supports Goal 3, promoting student achievement and preparing students for responsible citizenship; Goal 4, boosting student achievement in science and math; and Goal 5, providing vocational instruction to individuals so they can obtain the skills needed to function as productive members of society and compete in the economy.

Population Targeting

The program provides assistance to local education agencies, State education agencies, consortia of public and private agencies, organizations and institutions, and institutions of higher education, to establish demonstration programs in technology education for secondary schools, vocational education centers, and community colleges.

Services

In FY 1991, the Department of Education's Technology Education Demonstration Program awarded five continuation grants, to support projects in five States--Alaska, Connecticut, Georgia, West Virginia, and Wisconsin. These projects focused on three major priorities: (1) an institute for the purpose of developing teacher capability in the area of technology education, (2) research and development of curriculum materials for use in technology education programs, and (3) multidisciplinary teacher workshops for the coordination of mathematics, science, and technology education.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Bob Miller, (202) 205-9750

Program Studies : Sandra H. Furey, (202) 401-3630

OFFICE OF POSTSECONDARY EDUCATION

PELL GRANT PROGRAM
(CFDA No. 84.063)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 1, as amended (20 U.S.C. 1070a to 1070a-6) (expires September 30, 1992).

Purpose: To help financially needy undergraduate students to meet the costs of their education at participating postsecondary institutions by providing direct grant assistance.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$ 122,100,000	1985	$3,862,000,000
1975	840,200,000	1986	3,579,716,000
1980	2,157,000,000	1987	4,187,000,000
1981	2,604,000,000	1988	4,260,430,000
1982	2,419,040,000	1989	4,483,915,000
1983	2,419,040,000	1990	4,804,478,000
1984	2,800,000,000	1991	5,012,223,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting and Services

Pell Grants are available to undergraduate students enrolled in a degree or certificate program at an eligible institution. Students must have a high school diploma or its equivalent or pass an examination prepared by the Secretary to demonstrate ability to benefit from the training offered by the institution. Students must also demonstrate financial need based on the cost of education and the ability of the student, or student and family, to pay this cost. The calculation of this ability to pay is based on a Congressionally specified formula applied to the financial data of the student, or student and family. This formula differs somewhat from the formula used to determine eligibility for other student aid.

Participation: Almost 3.5 million students received Pell Grants averaging $1,449 in the 1990-91 award year (see Table 1). This represents an increase of nearly 25 percent (since 1984-85 base year) in the number of recipients over a seven year period (III.1).

Table 1

SELECTED STATISTICS ON THE PELL GRANT PROGRAM
1984-85, 1989-90, 1990-91 ACADEMIC YEARS

	1984-85	1989-90	1990-91
Number of applicants	5,514,029	6,777,992	7,138,940
Number determined eligible	3,558,386	4,347,681	4,507,984
Number of recipients	2,747,100	3,322,151	3,404,810
Total awards (in thousands of dollars)	$3,052,999	$4,777,844	$4,935,191
Average (in dollars)	$1,111	$1,438	$1,449

SOURCE: III.1.

Distribution By Sector: The number of institutions participating in the program has increased slightly: 6,557 institutions were participating in the Pell Grant program in 1991-92, virtually unchanged from the 6,584 institutions in 1990-91. These counts refer to main campuses. If branches are included, the numbers are 8,697 in 1991-92 and 8,596 in 1990-91, an increase of about 1 percent. Nearly half (49 percent) of these were proprietary (private, for-profit) schools, with the remainder divided almost equally between public and private nonprofit institutions (III.2).

Students at proprietary institutions now receive almost one-quarter of Pell Grants (22.4 percent). Table 2 shows the distribution of award amounts for public, private nonprofit, and proprietary institutions. The proprietary share grew from 21 percent in 1984-85 to about 27 percent in 1987-88, but has fallen back to 22 percent in 1990-91. By contrast, there was a decline for private nonprofit institutions which had a 23 percent share in 1984-85 but only 20 percent in 1990-91. The funding share of public institutions remained stable, the change from beginning to end of the seven-year period being less than 2 percent.

Table 2
PERCENTAGE DISTRIBUTION OF PELL AID BY TYPE OF INSTITUTION AWARD YEARS 1984-85 to 1990-91

Award Year	Public	Private Nonprofit	Proprietary
1990-91	57.9	19.7	22.4
1989-90	56.9	20.0	23.1
1988-89	55.4	20.2	24.4
1987-88	53.3	20.1	26.6
1986-87	54.4	20.8	24.8
1985-86	55.8	22.0	22.2
1984-85	56.2	22.9	20.9

SOURCE: III.1, III.3.

Distribution By Dependency Status: As shown in Table 3, the proportion of aid awarded to independent students is increasing. In 1984-85, independent students received 48.6 percent of all awards and received 49.3 percent of the total amount awarded, but by 1990-91, the independent student share had risen to 60.5 percent of all awards and 61.9 percent of the total amount awarded. Among independent students receiving Pell Grants in the 1990-91 award year, 80 percent were older than 22 years of age, while among dependent recipients only 4 percent were over 22 years old (III.1).

Table 3
PERCENTAGE DISTRIBUTION OF PELL AID BY DEPENDENCY STATUS
AWARD YEARS 1984-85 to 1990-91

Award Year	Number of Awards to Independent Students	Number of Awards to Dependent Students	Amount of Awards to Independent Students	Amount of Awards to Dependent Students
1990-91	60.5	39.5	61.9	38.1
1989-90	59.0	41.0	60.3	39.7
1988-89	57.9	42.1	59.4	40.6
1987-88	57.5	42.5	57.9	42.1
1986-87	53.9	46.1	54.9	45.1
1985-86	50.4	49.6	51.2	48.8
1984-85	48.6	51.4	49.3	50.7

SOURCE: III.1, III.3.

Distribution By Income: The Pell Grant program serves predominantly lower-income students. Sixty-nine percent of all Pell Grant recipients had family incomes of $15,000 or less in the 1990-91 award year and over 94 percent had incomes not exceeding $30,000 per year (approximate national median family income). Pell Grants tend to go to independent students, as shown in Table 4. Note that not only do independent students account for 60.5 percent of recipients, but their overall average award is also slightly higher and they receive 61.9 percent of the aid dollars.

Additional breakdown of awards by family income is shown in Tables 5 and 6 for dependent and independent students. Note that the average award declines as income increases. Within a specific income category, the average independent award is actually lower than the average dependent award, but the overall average reverses this because independent students are so heavily concentrated in the lowest income (highest average award) group. Nearly half (42.5 percent) of independent recipients were in this group while only 16.2 percent of dependent recipients were.

Table 4

PERCENT DISTRIBUTION OF PELL AWARDS BY DEPENDENCY STATUS FOR ALL STUDENTS 1990-91 AWARD YEAR

	Dependent	Independent	All Students
Percent Distribution of Recipients	39.5	60.5	100.0
Percent Distribution of Aid	38.1	61.9	100.0
Average Award $	1400	1482	1449

Source: III.1.

Table 5

PERCENT DISTRIBUTION OF PELL AWARDS BY FAMILY INCOME FOR DEPENDENT STUDENTS 1990-91 AWARD YEAR

	Dependent Students						
	0 to $6,000	$6,001-$9,000	$ 9,001-$15,000	$15,001-$20,000	$20,001-$30,000	$30,001 +	Total
Percent Distribution of Recipients	16.2	10.7	20.4	16.4	24.1	12.1	100.0
Percent Distribution of Aid	20.4	13.4	24.4	16.4	18.4	7.0	100.0
Average Award $	1761	1747	1670	1434	1069	768	1400

Source: III.1.

Table 6

PERCENT DISTRIBUTION OF PELL AWARDS BY INCOME FOR INDEPENDENT STUDENTS 1990-91 AWARD YEAR

	Independent Students						
	0 to $6,000	$6,001-$9,000	$ 9,001-$15,000	$15,001-$20,000	$20,001-$30,000	$30,001 +	Total
Percent Distribution of Recipients	47.5	19.4	16.1	7.4	8.0	1.6	100.0
Percent Distribution of Aid	53.2	19.6	15.2	6.4	4.9	0.7	100.0
Average Award $	1662	1498	1401	1292	895	581	1482

Source: III.1.

Program Administration

Students applying for Pell Grants submit one of five approved financial aid forms, which are processed for the Department of Education under contract with several data entry and processing organizations. The student is notified of his or her eligibility for assistance through the Student Aid Report (SAR). Copies of the SAR are sent to institutions at which the student wishes to apply and the institutions calculate the student's award based on a formula defined in the authorizing statute. Institutions then report to the Department of Education (usually every quarter) on all Pell Grant funds distributed to students enrolled at the school. Data on applicants and recipients are maintained by the Department through a contract with National Computer Systems. The contractor provides data tapes and reports as required to monitor the operation of the program.

Outcomes

Recent analyses of data from the National Postsecondary Student Aid Study (III.4.) taken in the fall of 1989-90, found that participation in the Pell Grant program varies by dependency status and income. Table 7 shows that over 60 percent of all dependent students with family incomes less than $10,000 a year applied for and received Pell aid. This percentage declines sharply with increasing income. Only four percent of all dependent students with family incomes over $30,000 a year applied for and received Pell aid. Almost half of the independent students with incomes under $10,000 a year participated in the Pell Grant program.

Overall, one-fifth of all students and almost one-fourth of independent students received a Pell grant, and more than half (52 percent) of all students at proprietary schools did so. Thirty percent of full-time students had a Pell grant and more than two-thirds of dependent full-time low income (less than $10,000) students did so. Pell participation is highest among poor students (less than $10,000 income) at private and proprietary schools: for dependent students, two-thirds of the private enrollment and almost four-fifths (77.5 percent) of the proprietary enrollment received grants. For independent students with less than $10,000 income, more than half (53.8 percent) of private students and seven out of ten proprietary students participated in the Pell program (III.4).

The Integrated Quality Control Measurement Project was conducted to measure the quality of awards in the 1988-89 award year under the major Title IV programs (Pell, Campus-Based, Stafford Loans). The report was released in April 1991, and found that $481 million (approximately 9.9 percent) of Pell funds were awarded in error including under-and over-awards. About 28 percent of Pell Grant recipients had award errors exceeding $50 (III.5).

TABLE 7

PERCENTAGE OF STUDENTS PARTICIPATING IN THE PELL PROGRAM

1989-90 AWARD YEAR

		TYPE OF INSTITUTION				STATUS	
	ALL	2-YR. PUB.	4-YR. PUB.	PRIV.	PROP.	FULL-TIME	PART-TIME
ALL	20.4	12.8	20.8	23.6	52.0	30.2	8.7
DEPENDENT	17.7	11.2	17.7	21.8	40.8	21.1	8.1
INCOME							
UNDER $10,000	60.5	46.1	63.5	66.8	77.5	68.1	37.8
$10,000-$29,999	30.7	14.7	35.2	44.8	48.7	38.6	9.5
$30,000 & OVER	4.0	2.4	4.2	5.1	9.0	4.8	1.8
INDEPENDENT	23.0	13.7	26.3	27.1	57.2	47.5	9.0
INCOME							
UNDER $10,000	45.3	31.4	46.2	53.8	70.3	60.7	23.6
$10,000 & OVER	11.5	7.2	12.3	13.9	40.2	31.5	4.9

Source: III.4.

NOTE: A percentage of participation (e.g., 15.4%) is for each grouping of students that is described by the intersecting row and column descriptors (e.g., Dependents with income under $10,000 attending 4-year Public Institutions).

Management Improvement Strategies

Recent changes in program operations have enabled institutions to award grants more rapidly and accurately. An electronic delivery system is available to participating institutions which enables them to transmit corrections to students' applications and to report student award disbursements through a computer link with the Department's processing contractor. This has increased efficiency and speed and reduced the cost of transmitting applicant data. More than 3,200 institutions have elected to participate in this program which is now operating on a cost-sharing basis, with participating institutions paying for data transmission and the Department paying for actual data processing by NCS. Approximately 1.7 million applicants were involved in the process.

Mandatory verification by institutions of applicant information continued in FY 1991. Nationally, approximately 30 percent of all financial aid applications are selected to be verified as having correct information. This requires submission by students (and parents, for dependent students), and review by institutions of documentation of key items in the application form. This process reduces student misreporting in the system.

III. SOURCES OF INFORMATION

1. Pell Grant End-of-Year Report, 1990-91, Division of Policy and Program Development, Office of Postsecondary Education, U.S. Department of Education.

2. Institutional Agreement and Authorization Reports, 1983-84 to 1989-90, Division of Program Operations and Systems, Office of Postsecondary Education, U.S. Department of Education.

3. Pell Grant End-of-Year Reports, 1983-84 to 1989-90, Division of Policy and Program Development, Office of Postsecondary Education, U.S. Department of Education.

4. National Postsecondary Student Aid Study, 1990, National Center for Education Statistics, Office of Educational Research and Improvement, U.S. Department of Education.

5. Integrated Quality Control Measurement Project, Findings and Corrective Actions, Washington, DC: Price Waterhouse, Inc., for U.S. Department of Education, September 1990.

IV. PLANNED STUDIES

1. Repetition of the National Postsecondary Student Aid Study at three-year intervals.

2. End-of-Year Report and technical updates of the Pell computer model will be continued annually.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Joseph A. Vignone, (202) 708-7888
Gary Crayton, (202) 708-9145

Program Studies : Robert Bart, (202) 401-0182

GUARANTEED STUDENT LOAN PROGRAMS
(CFDA No. 84.032)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV-B, as amended by P.L. 99-498 (20 U.S.C. 1071-1087-2) (expires September 30, 1992).

Purpose: To help financially needy undergraduate and graduate students meet the costs of their education at participating postsecondary institutions by encouraging private lenders to provide federally subsidized and insured long-term loans to students and their parents.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$ 10,000,000	1985	$3,799,823,000
1970	74,726,000	1986	3,265,941,000
1975	580,000,000	1987	2,717,000,000
1980	1,609,344,000	1988	2,565,000,000
1981	2,535,470,000	1989	4,066,828,000
1982	3,073,846,000	1990	3,826,314,000
1983	3,100,500,000	1991	5,381,422,000
1984	2,256,500,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting and Services

The Guaranteed Student Loan (GSL) programs include four component programs--the Stafford Loan program, the Supplemental Loans for Students (SLS) program, the PLUS program, and the Consolidation Loan program. Stafford Loans provide Federal reinsurance and interest subsidies on loans for eligible undergraduate, graduate and professional students. SLS loans provide reinsurance on loans for graduate and professional students, as well as independent undergraduate students. PLUS loans provide Federal reinsurance on loans to parents of dependent undergraduate and graduate students to help them meet their dependent's cost of education. Consolidation loans allow a borrower to consolidate multiple student loans into a single loan during repayment.

GSLs are available to help students who attend participating postsecondary institutions and meet the applicable eligibility criteria. Students receiving a Stafford Loan must demonstrate financial need based on the cost of education and the ability of the student or the student's family to pay this cost. The calculation of need is based on a Congressionally specified formula that analyzes the financial data of the student and/or the student's family. SLS and PLUS loans are not need based and may be used to offset the student or parent borrower's expected contributions towards the cost of education.

Participation: In FY 1991, the amount of loans guaranteed by the Guaranteed Student Loan programs was $13.5 billion. The total number of loans was 4.8 million. This compares with FY 1982 loan volume of $6.2 billion and 2.8 million individual loans. Table 1 shows the loan amount and number of loans for three of the individual GSL programs.

TABLE 1
NUMBER, VOLUME, AND PERCENT OF TOTAL GSLs BY PROGRAMS
FY 1991

	Number of Loans (in thousands)	Loan Volume (in millions)	Percent of Loan Volume
Stafford Loans	3,838	$10,551	78.2
SLS Loans	645	1,870	13.9
PLUS Loans	332	1,079	8.0
Total GSLs	4,815	13,500	100.1 1/

Source: III.1.

Distribution By Sector: Table 2 shows that among undergraduate borrowers, the largest percentage of awards went to those attending four-year public institutions. Borrowers attending proprietary institutions received a somewhat lower percentage of loans as did those attending private, non-profit institutions. However, borrowers attending private institutions received the largest percentage of loan dollars because of higher costs and larger average loan amount.

TABLE 2
PERCENTAGE DISTRIBUTION OF STAFFORD LOANS
BY CONTROL OF INSTITUTION
1989-90 AWARD YEAR

	2-Year Public	4-Year Public	Private	Proprietary	Total
Percent Distribution of Recipients	9.7	35.2	29.6	25.5	100.0
Percent Distribution of Aid	6.5	32.4	36.5	24.6	100.0
Average Award $	2,175	2,978	3,980	3,113	3,231

Source: III. 2.

1/ due to rounding

Distribution By Dependency Status And Income Level: Tables 3 and 4 (next page) show the percentage distribution of Stafford Loans by type of student and family income for the 1989-90 award year.

- Among dependent undergraduates, about 53 percent of Stafford Loan recipients had family incomes of less than $30,000 and 47 percent had family incomes greater than $30,000.

- Independent undergraduates accounted for about 56 percent of the Stafford Loans and about 64 percent of the loan dollars.

- Average Stafford Loan awards did not vary much by income level except for independent students who had an average loan amount that was roughly $1100 more than that of dependent students.

TABLE 3
PERCENT OF STAFFORD LOANS BY FAMILY INCOME
1989-1990 AWARD YEAR

	Dependent Undergraduate Borrowers						
	Under $6,000	$6,000-$9,000	$ 9,000-$15,000	$15,001-$20,000	$20,001-$30,000	$30,000 +	Total
Percent Distribution of Recipients	14.1	3.5	8.2	8.8	18.7	46.6	99.9 2/
Percent Distribution of Aid	12.4	3.3	7.4	8.6	18.0	50.3	100.0
Average Award $	2,307	2,443	2,358	2,573	2,525	2,825	2,622

2/ due to rounding

TABLE 4
PERCENT OF STAFFORD LOANS BY DEPENDENCY STATUS
1989-1990 AWARD YEAR

	Dependent Undergraduates	Independent Undergraduates	All Students
Percent Distribution of Recipients	44.0	56.0	100.0
Percent Distribution of Aid	35.7	64.3	100.0
Average Award $	2,622	3,712	3,232

Program Administration

Program Operations: The Guaranteed Student Loan programs make below market-rate interest, long-term loans available to help students attending participating postsecondary schools. For FY 1991, the current interest rate for new Stafford Loan borrowers was 8 percent for the first four years after the borrower enters repayment and 10 percent for the remainder of the repayment period. SLS and PLUS loan borrowers pay a variable annual interest rate tied to the 52-week Treasury bill rate plus 3.25 percentage points, or 12 percent, whichever is lower.

The program uses private loan capital supplied primarily by commercial lenders. Lenders receive interest subsidies and special allowance when applicable on eligible Stafford Loans to offset the below market interest rate they charge for a Stafford Loan. Lenders do not receive interest benefits for SLS or PLUS loans but may receive special allowance if the variable rate exceeds 12 percent. Borrowers generally have a maximum of 10 years to repay a GSL loan.

These loans are guaranteed by individual State or private, nonprofit guarantee agencies and are reinsured by the Federal government. Guarantee agencies receive an administrative cost allowance of 1 percent of new annual loan volume, but pay a reinsurance premium to the Federal government of 0.25 percent of loan volume amounts borrowed under the Guaranteed Student Loan programs (0.50 percent if an agency hits the "insurance trigger" at which point ED also reimburses less than 100 percent of the value of defaulted loans. This occurs when an agency's default rate exceeds the threshold level).

Maximum Loan Limits: Under the Stafford Loan program, first-or second-year undergraduate students may borrow up to $2,625 per year; other undergraduate students may borrow up to $4,000 per year; graduate or professional students may borrow up to $7,500 per year. The aggregate maximum borrowing limit for an undergraduate student in the Stafford Loan program is $17,250; graduate and professional students have an aggregate maximum borrowing limit of $54,750 which includes amounts borrowed as an undergraduate.

Under the PLUS Loan program, for each dependent student, a parent may borrow a maximum of $4,000 per academic year with an aggregate limit of $20,000.

Under the SLS program, a student may generally borrow up to $4,000 per academic year with an aggregate limit of $20,000. Students enrolled in programs that are less than one academic year in length may borrow up to $2,500 or $1,500 depending on the ratio of the length of the program of study to the academic year at the school. This information is summarized in Table 5.

TABLE 5

ANNUAL AND MAXIMUM LOAN LIMITS BY PROGRAM

	First or Second Year Student	Third, Fourth, or Fifth Year Student	Total Program Debt Limit
Stafford Undergraduate	$2,625	$4,000	$17,250
Stafford Graduate	$7,500	$7,500	$54,750
PLUS	$4,000	$4,000	$20,000
SLS	$4,000	$4,000	$20,000

Source: III.1.

Student Loan Defaults: During FY 1991, the Department continued publicizing details on the nature and extent of the default problem:

- o Default costs have increased almost fifteen fold since FY 1981, rising from $235 million to an estimated $3.6 billion in FY 1991.
- o Default costs represented about 62 percent of total obligations which were $5.7 billion in FY 1991.
- o The Department of Education has increased collections on defaulted loans from $65 million in FY 1981 to an estimated $735 million in FY 1991. Approximately $12.3 billion in defaulted GSLs was outstanding at the end of FY 1991.

- Default rates vary by the type and control of institution attended. The FY 1989 cohort contains all borrowers who entered repayment status in FY 1989. The FY 1989 cohort default rate is the percentage of this cohort that defaulted in FY 1989 or FY 1990. The FY 1989 cohort rates, which are the most recent available, are:

Type and Control	Default Rate
Proprietary	35.0
Public 2-year	16.2
Private 2-year	16.0
Public 4-year	6.4
Private 4-year	6.1

- When the FY 1989 cohort default rate is used, 81 schools had default rates above 60 percent. In contrast, 3,428 schools (excluding foreign and unclassified) had default rates below 20 percent, accounting for 68 percent of the schools. These figures exclude those postsecondary institutions with fewer than 30 borrowers entering repayment status in FY 1989.

Outcomes

Analyses from the National Postsecondary Student Aid Study (NPSAS), by the Department's Planning and Evaluation Service, show that:

- During the 1989-90 award year, graduate and professional students received 12.2 percent of Guaranteed Student Loans. However, because of their higher costs, this group of borrowers received 25.9 percent of GSL dollars. The average loan for graduate borrowers was $6,858, compared with $3,232 for all borrowers in the GSL program.

- Defaulters were four times more likely than non-defaulters to begin their postsecondary education without a high school diploma. Of this group of defaulters, approximately 40 percent had not received a general educational development (GED) certificate.

- Defaulters were more than twice as likely as non-defaulters to have dropped out of their postsecondary program.

- Defaulters were more than twice as likely to be unemployed or underemployed (earning less than $10,000) than non- defaulters at the time when repayment was scheduled to begin.

- Defaulters had fewer and smaller loans, which indicates that defaulters attended postsecondary institutions for shorter periods or went to relatively inexpensive institutions. This statistic may be explained in part by the fact that a significantly larger percentage of defaulters than non- defaulters attended proprietary institutions with programs lasting no more than two years and usually less (III.2).

During FY 1991, the General Accounting Office addressed aspects of the Guaranteed Student Loan Program.

In Stafford Student Loans: Millions of Dollars in Loans Awarded to Ineligible Borrowers, the GAO found that ED does not use the Stafford Loan tape dump to identify student loan defaulters who are trying to obtain new loans or determine whether borrowers have exceeded legal loan limits. Their analysis indicated that loan defaulters may have received $109 million in new loans and that students have received millions of dollars in loans over the legal loan limits (III.3).

In Student Loans: Characteristics of Defaulted Borrowers in the Stafford Student Loan Program, the GAO identified nine defaulter characteristics most frequently cited in published studies of defaults. These are:

1. attended vocational/trade schools
2. had low incomes
3. had little financial support
4. had minority backgrounds
5. lacked high school diplomas
6. failed to complete education programs
7. attended school for one year or less
8. borrowed small amounts
9. were unemployed when defaulting.

Defaulter characteristics cannot be used to predict who will default. An often misunderstood fact about default is that while most defaulters have certain characteristics, the majority of borrowers with these characteristics do not default on their loans (III.4).

In Analysis of Factors Related to Default, Mathematica Policy Research, Inc., found three key results from their analyses of the 1986-1987 NPSAS study (III.6):

- **A borrower's ability to pay is a powerful determinant of default.** The likelihood of default is greater for borrowers whose incomes after leaving school are lower, whose monthly GSL payments are higher, and who have more dependents.
- **Default rates differ significantly by level of educational attainment.** Borrowers who did not complete high school and borrowers who did not complete their postsecondary education programs were more likely to default. After adjustment for other factors, including post-school earnings, borrowers who had most recently attended proprietary or two-year schools were also more likely to default. Differences in (adjusted) default rates between borrowers attending proprietary or two-year schools and borrowers attending four-year schools are greater when the effect of school type on post-school earnings is taken into account.
- **Default rates differ significantly by the characteristics of borrowers.** Black and Hispanic borrowers were more likely to default, after income, education, and other individual characteristics were controlled for.

Management Improvement Strategies

Regulatory provisions that have been implemented during the FY 1989-1991 period require that:

- Schools with default rates above 30 percent must pay pro-rata tuition refunds to GLS borrowers who drop out before the halfway point of a course of study, or in the first six months, whichever is earlier;
- Schools with default rates above 20 percent must develop and submit to the Department default management plans to address the causes and reduce the incidence of default.

The Omnibus Budget Reconciliation Act of 1989 requires that:

- o SLS loans cannot be made to any undergraduate student attending an institution having a cohort default rate of 30 percent or greater for the most recent fiscal year; and

- o Students admitted to an institution on the basis of the ability to benefit from the training offered must receive a high school diploma, a GED or its equivalent in order to be eligible for assistance under the SLS program.

The Omnibus Budget Reconciliation Act of 1990 and subsequent technical amendments further addressed default-related issues.

- o An institution whose cohort default rate is equal to or greater than 35 percent for each of three most recent fiscal years for which data are available would be ineligible to participate in the GSL program This threshold percentage drops to 30 percent beginning in FY 1993.

- o The Higher Education Act Technical Amendments of 1991 eliminated the statute of limitations for student loan collections.

- o All schools must delay disbursing loans to first-time borrowers until 30 days after the first day of class.

The Department also published a booklet, Reducing Student Loan Defaults: A Plan for Action (III.5). The booklet describes the rising cost of defaults, which types of students default, and the most common reasons for default. It also contains recommendations on what steps can be taken by postsecondary institutions, lenders, guarantee agencies, accrediting agencies, States, and the Federal Government to reduce defaults. The booklet recommends that:

- o Schools counsel all students on their loan responsibilities, work closely with lenders to reduce defaults, improve the quality of their education, and establish good job placement programs;

- o Lenders communicate effectively with student borrowers during all phases of the loan process, use effective collection techniques, and carefully monitor organizations that service Guaranteed Student Loans;

- State guarantee agencies monitor lenders and postsecondary institutions and help enforce program laws and regulations, help institutions in their default reduction efforts, help lenders collect repayments before loans default, and diligently pursue collections of loans that default (III.5).

As part of the Department's quality-control program, mandatory verification continued to be employed in FY 1991 to include, along with other Federal student aid programs, the GSL program. Nationally, approximately 30 percent of all financial aid applications are selected for verification. Verification requires submission by students (and parents, if dependent) and review by institutions of documentation for key items in the student aid application form (such as tax forms and asset estimates). Verification and institutional documentation requirements reduce student misreporting in the program.

The Department is working on the design and implemention of the National Student Loan Data System. The System, when completed, will contain data on all GSL borrowers and will allow ED to detect overpayments and ineligible borrowers before payments are made.

In 1990, the Department released a study entitled Integrated Quality Control Measurement Project. The study found that the overcertification rate attributable to institutional error in the Stafford Loan program is 6.0 percent of the dollars certified, while the overcertification rate attributable to student error is only 4.2 percent of total certification dollars (III.7).

III. SOURCES OF INFORMATION

1. Program files.

2. National Postsecondary Student Aid Study 1986-87 school year. Data Files. (Washington, DC: National Center for Education Statistics, Office of Educational Research and Improvement, U.S. Department of Education).

3. Stafford Student Loans: Millions of Dollars in Loans Awarded to Ineligible Borrowers (Washington, DC: General Accounting Office, December 1990).

4. Student Loans: Characteristics of Defaulted Borrowers in the Stafford Student Loan Program (Washington, DC: General Accounting Office, April 1991).

5. Reducing Student Loan Defaults: A Plan for Action (Washington DC: Office of Planning, Budget and Evaluation, U.S. Department of Education, August 1990).

6. Analysis of Factors Related to Default (Washington, DC: Mathematica Policy Research, Inc., April 1991).

7. Integrated Quality Control Measurement Project, Executive Summary (Washington, DC: Price Waterhouse, Inc., September 1990).

IV. PLANNED STUDIES

ED has contracted for a study of default reduction efforts at 20 selected institutions. This study will be conducted during FYs 1992 and 1993.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	Gary Beanblossom, (202) 708-8242
Program Studies :	Dan Morrissey, (202) 401-0182

SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANT PROGRAM
(CFDA No. 84.007)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 2, as amended (20 U.S.C. 1070b to 1070b-3) (expires September 30, 1992).

Purpose: To help financially needy undergraduate students meet the costs of their education by providing supplemental grant assistance through participating postsecondary institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$ 58,000,000	1985	$412,500,000
1970	164,600,000	1986	394,762,000
1975	240,300,000	1987	412,500,000
1980	370,000,000	1988	408,415,000
1981	370,000,000	1989	437,972,000
1982	355,400,000	1990	458,650,000
1983	355,400,000	1991	520,155,000
1984	375,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting and Services

Supplemental Educational Opportunity Grants (SEOGs) are available to undergraduate students who attend participating postsecondary institutions and meet certain other criteria (e.g., have a high school diploma or its equivalent or have passed an exam approved by the Secretary of Education.) Students must also demonstrate financial need based on the cost of education and the ability of the student or student and family to pay this cost. The calculation of need is based on a Congressionally specified formula. Final award amounts are determined by the postsecondary institution based on the amount of funds available at the institution and the institution's aid packaging philosophy.

The SEOG program, along with the Perkins Loan Program and the College Work-Study Program are collectively referred to as "Campus-Based Programs" because the institution determines which eligible students receive aid and how much they receive.

Participation: In the 1989-90 award year, the most recent year for which information is available, 727,566 students received SEOG awards averaging $641. This is an increase in both the number of recipients and the recipients' average award from the 1988-89 award year, when 678,847 students received awards averaging $622.

Distribution By Sector: Table 1 shows the distribution of SEOG funds across types of institutions between 1989-90 and 1983-84, when these data were first collected. Table 1 shows a slight decrease in the public share--49.8 percent in 1983-84 and 48.2 percent in 1989-90--while the proprietary share has increased in the same time period (8.4 to 11.5 percent).

Institutional participation in the program has decreased slightly: in 1988-89, 4,675 institutions received program funds while 4,655 participated in 1989-90. Of the 4,655 institutions receiving funds, 31 percent were public, 29 percent were private non-profit, and 40 percent were proprietary (private for-profit) institutions (III.1).

TABLE 1

PERCENTAGE DISTRIBUTION OF SEOG FUNDS TO STUDENTS BY TYPE OF INSTITUTION, AWARD YEARS 1983-84 to 1989-90

Award Year	Public	Private Nonprofit	Proprietary
1989-90	48.2	40.3	11.5
1988-89	49.7	41.3	9.0
1987-88	48.4	41.4	10.2
1986-87	49.0	41.4	9.6
1985-86	48.5	41.9	9.6
1984-85	49.4	41.9	8.7
1983-84	49.8	41.8	8.4

SOURCE: III.1.

Distribution By Dependency Status: The composition of recipients has changed over this seven-year period. Table 2 shows that since 1983, independent students have made up an increasing proportion of SEOG recipients. By award year 1989-90, 48.3 percent of all recipients were independent students, compared to 30.1 percent in 1983-84.

Table 2

PERCENTAGE DISTRIBUTION OF SEOG RECIPIENTS
BY DEPENDENCY STATUS
1983-84 to 1989-90

Award Year	Dependent	Independent
1989-90	51.7	48.3
1988-89	54.3	45.7
1987-88	60.6	39.4
1986-87	67.8	32.1
1985-86	68.1	31.8
1984-85	69.0	31.0
1983-84	69.9	30.1

SOURCE: III.1.

The data in Table 3 show that SEOG awards tend to be larger for dependent students than independent students. Dependent students accounted for 51.7 percent of all recipients but received 60.1 percent of SEOG funds distributed during the 1989-90 academic year.

Table 3

DISTRIBUTION OF SEOG AWARDS BY DEPENDENCY STATUS FOR ALL STUDENTS 1989-90 AWARD YEAR

	Dependent	Independent	All Students
Percent Distribution of Recipients	51.7	48.3	100.0
Percent Distribution of Aid	60.1	39.9	100.0
Average Award $	743	529	639

Source: III.1.

Table 4

DISTRIBUTION OF SEOG AWARDS BY FAMILY INCOME FOR DEPENDENT STUDENTS 1989-1990 AWARD YEAR

	Dependent Students						
	Under $6,000	$6,000-$11,999	$12,000-$17,999	$18,000-$23,999	$24,000-$29,999	$30,000 +	Total
Percent Distribution of Recipients	14.7	17.8	18.2	17.0	13.2	19.1	100.0
Percent Distribution of Aid	12.8	16.1	18.1	17.5	14.0	21.5	100.0
Average Award $	665	662	741	765	790	829	743

Source: III.1.

Distribution by Income: Table 4 shows the distribution of awards by family income for dependent students. Students from families with income less than $30,000 (approximate median family income) made up 81 percent of all dependent recipients and received 79 percent of SEOG funds awarded to dependent students during the 1989-90 award year. Across income groups, however, average awards increased with the level of family income, probably because students from higher-income families are more likely to attend higher-cost institutions. Given the formulas used to determine need, low-income students may not be eligible for higher awards even though they have lower expected family contributions, because they may attend lower-cost schools and receive higher Pell Grant awards. Both factors may act to reduce their need relative to that of higher-income students.

Program Administration

Student eligibility for an SEOG award is determined by a statutory formula. The student's need is used in determining the size of the award.

Through 1988-89, SEOG awards were funded entirely by the Federal Government. Beginning in the 1989-90 award year, SEOG awards are a combination of Federal and institutional contributions. For 1989-90, there was a minimum 5 percent institutional contribution; for award year 1990-91, a minimum 10 percent institutional contribution; and for award year 1991-92 and subsequent years, the minimum institutional contribution is 15 percent. The institutional share may be waived under certain circumstances.

The disbursement of SEOG awards is a two-step process. First, the Department of Education allocates funds to eligible postsecondary institutions according to a formula that incorporates a guaranteed minimum based on the institution's SEOG expenditures in the 1985-86 award year, and increases based on a measure of institutional need. Second, institutions award these funds to eligible students, with first priority given to students with exceptional need who also receive Pell Grants.

After award of SEOG funds to all eligible Pell Grant recipients (in order of lowest family contribution), SEOG funds are awarded to non-Pell Grant recipients with the lowest family contribution.

The maximum award for an academic year is $4,000 and the minimum award for a full academic year is $100.

Outcomes

About 9.9 percent of campus-based program dollars awarded to students by the institutions that participate in the campus-based programs are awarded in error; in FY 1990 roughly $125 million was awarded in error. Error, as used here, is defined as the difference between need measured with the financial aid information the applicants reported and need measured with the best obtainable documentary evidence of the applicants' financial aid information. Need was recalculated based upon this best available financial aid information and the difference between the two calculations is considered error. The entire amount of the award where an institution made an award that was not in compliance with regulations is also included in this total error figure (III.2).

The available data on errors do not provide error rates for individual campus-based programs but pertain to all three programs (College Work Study, Supplemental Educational Opportunity Grant, and Perkins Loan) that collectively comprise these programs.

Recent analyses of data from the National Postsecondary Student Aid Study (III.3.) by the Department's Planning and Evaluation Service, presented in Table 5, show that:

- 4.6 percent of all postsecondary students received SEOG awards. The percentage of recipients varies with the type of institution attended, ranging from 2 percent at two-year public institutions to 9 percent at private (including proprietary) institutions.

- The SEOG program is strongly targeted at lower-income students. For students from families with incomes less than $10,000, 17.5 percent of full time dependent students received awards and 25 percent of those enrolled in private institutions received awards. Only 2.1 percent of full-time dependent students with family incomes at $30,000 and above received awards.

- Only 1.3 percent of part-time students received SEOG awards.

TABLE 5

PERCENTAGE OF STUDENTS PARTICIPATING IN THE SEOG PROGRAM

1989-90 AWARD YEAR

	ALL	TYPE OF INSTITUTION				STATUS	
		2-YR. PUB.	4-YR. PUB.	PRIV.	PROP.	FULL-TIME	PART-TIME
ALL	4.6	2.0	5.0	8.9	9.0	7.5	1.3
DEPENDENT	4.8	1.2	4.3	10.0	8.5	6.2	0.8
INCOME							
UNDER $10,000	14.0	4.8	15.4	25.0	12.1	17.5	3.6
$10,000-$29,999	8.2	1.6	8.5	18.9	11.9	11.0	1.0
$30,000 & OVER	1.5	0.3	1.1	4.0	3.0	2.1	0.1
INDEPENDENT	4.6	2.3	6.4	7.0	9.4	10.2	1.5
INCOME							
UNDER $10,000	8.6	4.9	10.2	13.6	11.8	12.4	3.6
$10,000 & OVER	2.5	1.4	3.6	3.7	6.2	7.4	0.9

Source: III.3.

NOTE: A percentage of participation (e.g., 15.4%) is for each grouping of students that is described by the intersecting row and column descriptors (e.g., Dependents with income under $10,000 attending 4-year Public Institutions).

Management Improvement Strategies

Recent changes in program operations have allowed institutions to operate more efficiently. An electronic student-application delivery system, previously available only on a pilot basis, is now available to any institution that wishes to participate. This system allows institutions to receive applicants' eligibility information electronically the day it is calculated by the Central Processor. This system also allows institutions to electronically transmit application corrections, which eliminates time previously needed for mailing and contractor data entry.

During FY 1991, the Department completed planning for an electronic student "renewal application" to be available through schools linked to the Central Processor. This renewal application will allow students to electronically update their information from the previous year's application without using a paper application.

Additionally, the institution's application to participate in the SEOG program is now electronically based and paper applications are no longer used. This has increased accuracy and reduced processing time.

As part of the Department's quality-control program, mandatory verification continued in FY 1991 to include, along with other Federal student aid programs, the SEOG program. Nationally, approximately 30 percent of all financial aid applications are selected for verification. Each year, the Department requires that institutions verify those financial aid applications that have been selected for verification. Students (and parents, if dependent) are required to submit documentation for key items in the student aid application form (such as tax forms and asset estimates) for review by institutions. Verification and institutional documentation requirements reduce student misreporting in the program.

In addition, the Institutional Quality Control Project (III.4) has been implemented to assess the feasibility of developing an institutionally based quality-control system for the Title IV programs.

III. SOURCES OF INFORMATION

1. Fiscal Operations Report 1989-90, unpublished tables from Campus-Based Programs Branch, Analysis Section, Office of Student Financial Assistance, U.S. Department of Education.

2. Integrated Quality Control Measurement Project, Executive Summary (Washington, DC: Price Waterhouse, September 1990).

3. National Postsecondary Student Aid Study, 1990, National Center for Education Statistics, Office of Educational Research and Improvement, U.S. Department of Education.

4. Institutional Quality Control Project Flash Report Trend Analysis, (Washington, DC: Pelavin Associates, Inc., March 1992).

IV. PLANNED STUDIES

In FY 1991, the General Accounting Office initated a study to determine if SEOG awards are awarded to students according to program requirements.

The National Postsecondary Student Aid Study for school year 1989-90 will be available in FY 1992. The study is repeated at three-year intervals.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Blanca Rosa Rodriquez, (202) 708-8963

Program Studies : Steven Zwillinger, (202) 401-0182

PERKINS LOAN PROGRAM
(CFDA No. 84.038)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part E, as amended (20 U.S.C. 1087aa-1087hh) (expires September 30, 1992).

Purpose: To help financially needy undergraduate and graduate students meet the costs of education by providing low-interest, long-term loans through postsecondary education institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1959	$ 30,883,000	1984	$161,060,000
1960	40,393,000	1985	192,482,000
1965	145,000,000	1986	181,830,000
1970	188,785,000	1987	188,000,000
1975	321,000,000	1988	185,736,000
1980	286,000,000	1989	183,507,000
1981	186,000,000	1990	135,129,000
1982	178,560,000	1991	156,142,000
1983	178,560,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting and Services

Perkins Loans are available to undergraduate and graduate students who attend participating postsecondary institutions and meet certain other criteria (e.g., have a high school diploma or its equivalent or have passed an examination approved by the Secretary of Education.) Applicants must demonstrate financial need based on the cost of education and the ability of the student and/or the student's family to pay this cost. The calculation of need is based on a Congressionally specified formula. Final eligibility and award amounts are determined by the postsecondary institution based on the amount of funds available at the institution and the institution's aid-packaging policy.

The Perkins Loan Program, with the Supplemental Educational Opportunity Grant Program and the College Work-Study Program are collectively referred to as "Campus-Based Programs" because the institution determines which eligible students receive awards and how much they receive.

Participation: In the 1989-90 award year, the most recent year for which student information is available, 695,909 students received Perkins Loans which averaged $1,297. The total amount lent was $902 million--an amount almost five times greater than the appropriation. Perkins Loan funds go into a revolving fund. Loan repayments (and interest) are used to make additional loans. These data represent a slight increase over the previous year when 692,064 students received Perkins loans averaging $1,263 per loan.

Distribution by Sector: Institutional participation in the program has decreased slightly: 3,213 institutions received program funds, in 1988-89, while 3,097 participated in 1989-90. Of the 3,097 institutions receiving funds, 878 were public, 1,182 were private non-profit and 1,037 were proprietary (private for-profit) institutions (III.1).

Table 1 displays the distribution of Perkins Loan funding by type of institution since 1983-84, when these data were first collected.

- o Consistent with the formula by which Perkins Loan funds are allocated, the distribution of program funds across different sectors of postsecondary education has remained fairly stable.
- o Public and private nonprofit and proprietary schools received 47.8, 46.6, and 5.6 percent of program funds, respectively, for 1989-90.

Table 1

PERCENTAGE DISTRIBUTION OF PERKINS LOANS TO STUDENTS BY CONTROL OF INSTITUTION AWARD YEARS 1983-84 to 1989-90

Award Year	Public	Private	Proprietary
1989-90	47.8	46.6	5.6
1988-89	49.4	45.3	5.3
1987-88	48.9	45.0	6.1
1986-87	49.2	44.1	6.7
1985-86	48.9	44.7	6.4
1984-85	49.9	43.8	6.2
1983-84	49.7	43.5	6.8

SOURCE: III.1.

Distribution by Dependency Status and Educational Level: Table 2 shows the distribution of Perkins Loans by students' dependency status and level of education. The composition of recipients has not changed much over this period. In 1989-90, dependent and independent undergraduate students and graduate students, comprised 53.0, 27.4, and 19.6 percent, respectively, of all Perkins Loans during that year.

Table 2

PERCENTAGE DISTRIBUTION OF PERKINS LOANS TO STUDENTS BY DEPENDENCY STATUS AND LEVEL OF EDUCATION, AWARD YEARS 1983-84 to 1989-90

	Undergraduates		Graduate
Award Year	Dependent	Independent	Students
1989-90	53.0	27.4	19.6
1988-89	52.8	27.0	20.2
1987-88	56.3	25.0	18.7
1986-87	56.2	26.3	17.4
1985-86	56.6	25.4	18.0
1984-85	57.1	25.0	17.8
1983-84	58.3	24.3	17.4

SOURCE: III.1.

Distribution by Income: Tables 3 and 4 show the percentage distribution of Perkins Loans in 1989-90 by the dependency status of the student and level of family income:

- Almost 42 percent of dependent Perkins Loan recipients have family incomes of at least $30,000.
- Independent undergraduates and graduate students account for 30 percent and 12.5 percent of all Perkins Loan recipients, respectively.
- Average awards do not vary much by income level. Graduate students, however, have a much higher average loan amount than undergraduate students, probably because of their higher costs and their independent status.

Table 3

PERCENT DISTRIBUTION OF PERKINS AWARDS BY DEPENDENCY STATUS FOR ALL STUDENTS 1989-90 AWARD YEAR

	Dependent	Independent	Graduate Students	All Students
Percent Distribution of Recipients	57.5	30.0	12.5	100.0
Percent Distribution of Aid	53.0	27.4	19.6	100.0
Average Award $	1,189	1,195	2,034	1,297

Source: III.1.

Table 4

PERCENT DISTRIBUTION OF PERKINS AWARDS BY FAMILY INCOME FOR DEPENDENT STUDENTS 1989-90 AWARD YEAR

	Dependent Students						
	Under $6,000	$6,000-$11,999	$12,000-$17,999	$18,000-$23,999	$24,000-$29,999	$30,000 +	Total
Percent Distribution of Recipients	6.4	9.0	12.6	15.6	14.6	41.8	100.0
Percent Distribution of Aid	7.1	8.7	12.1	15.1	14.9	42.1	100.0
Average Award $	1,148	1,120	1,164	1,188	1,203	1,215	1,189

Source: III.1.

Program Administration

Students' eligibility for Perkins Loans is determined by a statutory formula. The students' need is used in determining the size of the award.

The Department of Education allocates funds to support Perkins Loans to postsecondary education institutions based on the amount the institution expended in the 1985-86 award year, less a default penalty, plus an increase based on the school's fair share of the total appropriation for the current year. Institutions then distribute these funds to eligible students according to their own aid-packaging policy. Perkins Loans are a combination of Federal and institutional capital contributions. The institutional capital contribution must equal at least one-ninth of the Federal capital contribution.

To receive a Perkins Loan, students must meet certain categorical eligibility criteria and demonstrate financial need (the cost of their attendance must exceed their expected family contribution, Pell Grant, and other financial aid received). Institutions determine the distribution of loans among eligible applicants and must give priority to those with the largest financial need. An eligible student may receive maximum cumulative loans of $4,500 for the first two years of undergraduate study, a cumulative loan total of $9,000 for undergraduate study, and a cumulative loan total of $18,000 for undergraduate and graduate study combined.

Borrowers do not pay any interest while in school and during the grace period, but pay a 5 percent annual rate of interest while the loan is in repayment.

Loans can be canceled (forgiven) for statutory reasons such as loans to borrowers serving in the military or teaching low-income or handicapped children. Table 5 shows the cumulative teacher and military loan cancellations by type of school.

Table 5

PERKINS LOAN PROGRAM CUMULATIVE TEACHER/MILITARY CANCELLATIONS AS OF JUNE 30, 1990

	Cost of Principal and Interest on			
	Loans Issued Before 1972	Loans Issued After 1972		
	Teacher and Military	Teacher	Military	Total
Public 2 Year	$ 4,823,110	$ 1,734,999	$ 52,694	$ 1,787,693
Public 4 Year	294,030,000	139,824,163	58,320	139,882,483
Private 2 Year	1,322,295	341,165	2,724	343,889
Private 4 Year	215,242,985	81,362,680	147,878	81,510,558
Proprietary	240,276	185,332	4,659	189,991
Total	$515,659,649	$223,448,339	$266,275	$223,714,614
Institutions	1,838	1,985	248	

SOURCE: III.5.

Table 6 shows cumulative costs (including cancellation) of Perkins Loan funds.

Table 6

CUMULATIVE PERKINS LOAN FUND COSTS AND LOSSES COMPARED TO INCOME AS OF JUNE 30, 1989

	Dollars in millions	
Income		
Interest on loans		$1,132.7
Other income		109.6
Total income		1,242.3
Costs and losses		
Administrative costs	$489.1	
Collection costs	267.7	
Defaulted loans 1/	822.7	
Canceled loans	693.7	
Other costs and losses	15.5	
Total costs and losses		2,288.7
Net operating difference		**-$1,046.4**

SOURCE: III.5.

1/ Defaulted loans assigned to the Department; schools were holding an additional $737 million in defaulted loans that they do not report as costs until assigned to the Department. Thus, total loans in default were over $1.5 billion.

Outcomes

At the end of FY 1990, Perkins Loan funds at postsecondary institutions had a current value of $5.60 billion and cumulative defaults held by institutions totaled $737 million. Also, $747 million in defaulted loans had been assigned to the Department for collection. This figure excludes information from schools that no longer participate in the program. Loans assigned to ED are excluded from institutional default calculations (III.1).

About 9.9 percent of campus-based program dollars awarded to students by the institutions that participate in the campus-based programs are awarded in error; in FY 1990 roughly $125 million was awarded in error. Error, as used here, is defined as the difference between need measured with the financial aid information the applicants reported and need measured with the best obtainable documentary evidence of the applicants' financial aid information. Need was recalculated based upon this best available financial aid information and the difference between the two calculations is considered error. The entire amount of the award where an institution made an award that was not in compliance with regulations is also included in this total error figure.

The available data on errors do not provide error rates for individual campus-based programs but pertain to all three programs (College Work Study, Supplemental Educational Opportunity Grant, and Perkins Loan) that collectively comprise these programs (III.3).

The Perkins program is set up as a revolving fund: borrowers' payments replenish the school's loan funds, making capital available for loans to other students. The GAO found that 87 percent of participating institutions had operating expenses and losses, including loan cancellations (forgiveness), that exceeded their Perkins funds' income (III.5.). GAO found that, through June 1989, cumulative operating costs (including cancellations and defaults) exceeded income by about $1.05 billion. Federal and school capital contributions have been used, in part, to make up for operating losses as well as to increase funds available for loans.

Recent analyses from the National Postsecondary Student Aid Study, by the Department's Planning and Evaluation Service, presented in Table 7, found that:

o 4.3 percent of all postsecondary students received Perkins Loans and 7.4 percent of full-time students did so. The percent of student participation in the program varies by income and institution type. Participation is highest, almost 22 percent, among dependent students with income between $10,000 and $30,000 attending private institutions. Almost 10 percent of all students attending private institutions received Perkins Loans. Less than 1 percent of students enrolled in two-year public institutions received Perkins Loans.

o A larger percentage of full-time graduate students (9.9 percent) received Perkins loans than the percentage of full-time undergraduate students (7.2 percent).

o Less than 1 percent of part-time students received Perkins Loans.

TABLE 7

PERCENTAGE OF STUDENTS PARTICIPATING IN THE PERKINS LOAN PROGRAM

1989-90 AWARD YEAR

		INST. TYPE				STATUS	
	ALL	2-YR. PUB.	4-YR. PUB.	PRIV.	PROP.	FULL-TIME	PART-TIME
ALL	4.3	0.7	5.2	9.3	5.6	7.4	0.8
GRADUATE	4.5	NA	3.4	6.2	2.2	9.9	0.7
UNDERGRADUATE	4.3	0.7	5.7	10.3	5.6	7.2	0.8
DEPENDENT*	5.6	0.7	5.4	13.0	7.4	7.3	1.1
INCOME							
UNDER $10,000	10.6	1.8	13.0	19.8	8.1	13.0	4.0
$10,000-$29,999	9.0	0.8	10.3	21.8	10.3	12.1	1.3
$30,000 & OVER	3.3	0.4	2.5	8.7	4.4	4.3	0.4
INDEPENDENT*	3.0	0.8	6.3	5.8	4.9	7.0	0.8
INCOME							
UNDER $10,000	5.2	1.2	9.8	10.1	5.0	7.8	1.6
$10,000 & OVER	1.9	0.6	3.8	3.7	4.8	6.1	0.5

* Undergraduates only

Source: III.2.

NOTE: A percentage of participation (e.g., 3.4%) is for each grouping of students describe by the intersecting row and column descriptors (Graduates attending 4-year Public Institutions).

The institutional default rate is calculated by dividing the principal amount outstanding on loans in default by the principal amount of all loans that have entered repayment status. This rate excludes those loans which were assigned to the Department of Education. Loans which have not yet entered into repayment status are those in student status and first grace period. Default rate by institutional type is shown in Table 8.

Table 8

SECTOR DISTRIBUTION OF DEFAULT RATE
AS OF JUNE 30, 1990

	Borrowers	Dollars Outstanding In Default	Matured Principal	Default Rate Percentage
Public 2 Year	54,910	$ 37,093,642	$ 420,393,634	8.82
Public 4 Year	266,202	309,570,098	5,572,885,953	5.55
Private 2 Year	16,979	13,352,149	117,275,467	11.39
Private 4 Year	203,121	279,534,964	4,997,267,437	5.59
Proprietary	97,239	87,950,931	550,320,625	15.98
Total	638,451	$727,501,784	$11,658,143,116	6.24

SOURCE: III.1.

Management Improvement Strategies

Recent changes in program operations have allowed institutions to operate more efficiently. An electronic student-application delivery system, previously available only on a pilot basis, is now available to any institution that wishes to participate. This system allows institutions to receive applicants' eligibility information electronically the day it is calculated by the Central Processor. This system also allows institutions to electronically transmit application corrections, which eliminates time previously needed for mailing and contractor data entry.

During FY 1991, the Department completed planning for an electronic student "renewal application" to be available through schools linked to the Central Processor. This renewal application will allow students to electronically update their information from the previous year's application without using a paper application.

Additionally, the institution's application to participate in the Perkins Loan program is now electronically based and paper applications are no longer used. This has increased accuracy and reduced processing time.

ED conducts an annual analysis of electronic processing activities in order to recommend system changes and improvements. This report includes an analysis of the computer edits ED uses to detect inconsistent, suspicious or unreasonable applicant data; an analysis of the electronic communication procedures used for students' application information, and recommendations for improving the effectiveness of the electronic procedures. In future years, the report will include an assessment of the renewal application process.

As part of the Department's quality-control program, mandatory verification continued in FY 1991 to include, along with other Federal student aid programs, the Perkins Loan program. Nationally, approximately 30 percent of all financial aid applications are selected for verification. Each year, the Department requires that institutions verify those financial aid applications that have been selected for verification. Students (and parents, if dependent) are required to submit documentation for key items in the student aid application form (such as tax forms and asset estimates) for review by institutions. Verification and institutional documentation requirements reduce student misreporting in the program.

In addition, the Institutional Quality Control Project (III.4) has been implemented to assess the feasibility of developing an institutionally based quality-control system for Title IV programs.

III. SOURCES OF INFORMATION

1. Fiscal Operations Report 1989-90, unpublished tables from Campus-Based Programs Branch, Analysis Section, Office of Student Financial Assistance, U.S. Department of Education.

2. National Postsecondary Student Aid Study, National Center for Education Statistics, Office of Educational Research and Improvement, U.S. Department of Education, 1990.

3. Institutional Quality Control Measurement Project, Executive Summary (Washington, DC: Price Waterhouse, September 1990).

4. Institutional Quality Control Project Flash Report Trend Analysis, (Washington, DC: Pelavin Associates, Inc., March 1992).

5. Perkins Student Loans: Options That Could make the Program More Financially Independent (Washington, DC: U.S. General Accounting Office, December 1991).

IV. PLANNED STUDIES

The National Postsecondary Student Aid Study for school year 1989-90 was due in FY 1992. The study is repeated at three-year intervals.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Blanca Rosa Rodriguez, (202) 708-8963

Program Studies : Steve Zwillinger, (202) 401-0182

COLLEGE WORK-STUDY PROGRAM
(CFDA No. 84.033)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part C, as amended (42 U.S.C. 2751-2756a) (expires September 30, 1992).

Purpose: To help financially needy undergraduate and graduate students to meet the costs of their education at participating postsecondary institutions by helping institutions to provide on- and off- campus part-time employment for students. The funds appropriated pay a portion of the students' salaries in College Work-Study jobs.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$ 55,710,000	1985	$592,500,000
1970	152,460,000	1986	567,023,000
1975	420,000,000	1987	592,500,000
1980	550,000,000	1988	588,249,000
1981	550,000,000	1989	610,097,000
1982	528,000,000	1990	601,765,000
1983	590,000,000	1991	594,639,000
1984	555,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting and Services

College Work-Study (CWS) jobs are available to undergraduate and graduate students who attend participating postsecondary institutions and meet certain other criteria (e.g., have a high school diploma or its equivalent or have passed an exam approved by the Secretary of Education.) Students must also demonstrate financial need based on the cost of education and the ability of the student or the student and family to pay this cost. The calculation of need is based on a Congressionally specified formula. Final eligibility and award amounts are determined by the postsecondary institution based on the amount of funds available at the institution and the institution's aid-packaging policy.

The CWS program, with the Supplemental Educational Opportunity Grant Program and the Perkins Loan Program, are collectively referred to as "Campus-Based Programs" because the institution determines which eligible students receive awards and how much they receive.

Participation: According to program data, 676,650 students received awards averaging $980 in the 1989-90 award year (the most recent year for which data are available). This is an increase from the previous year when 672,692 students received awards averaging $930.

Distribution by Sector: Institutional participation in the program has decreased slightly: in 1988-89, a total of 3,956 institutions received program funds while 3,901 participated in 1989-90.

Table 1 shows the distribution of CWS funds by type of institution between 1989-90 and 1983-84, when these data were first collected. The percentage of funds going to public, private nonprofit, and proprietary institutions has remained similar throughout this period, with public institutions receiving slightly more than half of all funds disbursed (approximately 55 percent), private nonprofit institutions receiving the next largest share (approximately 43 percent), and proprietary institutions receiving a very small portion of funds (approximately 2 percent).

Table 1

PERCENTAGE DISTRIBUTION OF CWS DOLLARS EARNED BY TYPE OF INSTITUTION AWARD YEARS 1983-84 to 1989-90

Award Year	Public	Private Nonprofit	Proprietary
1989-90	54.5	43.1	2.4
1988-89	54.4	43.3	2.3
1987-88	54.9	42.6	2.5
1986-87	56.3	42.0	1.8
1985-86	55.8	42.8	1.4
1984-85	56.6	42.1	1.3
1983-84	56.6	41.9	1.6

SOURCE: III. 1.

Distribution by Dependency Status and Educational Level: During the mid-1980s, increasing shares of program funds were awarded to dependent undergraduates, while the portion of funds to graduate students was decreasing. These trends appear to have stabilized in the past few years (Table 2). In 1989-90, undergraduates received approximately 95 percent of all CWS funds, and just under three-fourths of funds awarded to undergraduates were awarded to dependent students.

Table 2

PERCENTAGE DISTRIBUTION OF CWS DOLLARS EARNED BY DEPENDENCY STATUS AND LEVEL OF EDUCATION AWARD YEARS 1983-84 to 1989-90

	Undergraduates		Graduate
Award Year	Dependent	Independent	Students
1989-90	69.6	25.7	4.7
1988-89	69.8	25.6	4.6
1987-88	71.3	24.2	4.5
1986-87	64.5	26.8	8.6
1985-86	63.8	25.9	10.2
1984-85	64.1	25.8	10.0
1983-84	64.7	25.2	10.0

SOURCE: III.1.

Distribution by Income: The percentages of recipients, total aid, and average awards vary by type of student and level of family income (see Tables 3 and 4.) In 1989-90, the average award for dependent undergraduates was $883 while the average award for independent undergraduates was 18% larger ($1,042). Graduate students received the largest awards, however, with an average amount ($2,066) almost double that of undergraduate students. Due to large award sizes, graduate students receive a disproportionate share of CWS funds. Although they constituted only 4.7 percent of all recipients, graduate students received 10.0 percent of all program funds.

For undergraduate students, the percentage of recipients across income levels closely mirrors the percentage of aid distributed across the same income levels. The highest average award for undergraduates is for those students whose family income is between $12,000 and $24,000.

Table 3

PERCENT DISTRIBUTION OF CWS AWARDS BY DEPENDENCY STATUS FOR ALL STUDENTS -- 1989-90 AWARD YEAR

	Dependent Undergraduate	Independent Undergraduate	Graduate Students	All Students
Percent Distribution of Recipients	69.6	25.7	4.7	100.0
Percent Distribution of Aid	62.7	27.3	10.0	100.0
Average Award $	883	1,042	2,066	980

Source: III.1.

Table 4

PERCENT DISTRIBUTION OF CWS AWARDS BY FAMILY INCOME FOR DEPENDENT STUDENTS -- 1989-1990 AWARD YEAR

	Dependent Students						
	Under $6,000	$6,000-$11,999	$12,000-$17,999	$18,000-$23,999	$24,000-$29,999	$30,000 +	Total
Percent Distribution of Recipients	10.6	11.5	12.9	13.7	12.8	38.5	100.0
Percent Distribution of Aid	10.0	11.5	13.6	14.2	12.9	37.8	100.0
Average Award $	837	889	912	912	903	869	883

Source: III.1

Program Administration

Student eligibility for a CWS award is determined by a statutory formula and the student's need is used in determining the size of the award.

CWS awards are a combination of Federal and institutional contributions. The Federal contribution has changed over the past few years. In award year 1988-89 the Federal contribution could not exceed 80 percent; in 1989-90, the Federal share could not exceed 75 percent; and for award year 1990-91 and subsequent years, the Federal share of compensation paid to a student may not exceed 70 percent. The institutional contribution must usually equal 30 percent. The institutional share may be waived under certain conditions.

The disbursement of CWS awards is a two-step process. First, the Department of Education allocates funds to eligible postsecondary institutions according to a formula that incorporates a guaranteed minimum (based on institutional expenditures in the 1985-86 award year) and increases that reflect students' need. Second, institutions award these funds to eligible students according to their own financial aid packaging policies. Institutions determine which eligible students receive awards and how much they receive.

In addition to wages for students, institutions may use CWS funds for the following purposes:

1. Up to 10 percent of its CWS allocation for an award year can be transferred to the SEOG program.

2. The lesser of 10 percent of its CWS allocation or $30,000 may be used to operate or expand the institution's Job Location and Development Program (JLD).

3. The lesser of 10 percent of its CWS allocation or $20,000 may be used to operate or expand the institution's Job Location and Development Community Service Learning Program (JLDCSL). CSL provides CWS wages to students whose work provides direct and tangible services to improve the quality of life for low-income community residents.

4. Administrative cost allowance may be taken if the institution provided employment to its students in that award year.

Outcomes

About 9.9 percent of campus-based program dollars awarded to students by the institutions that participate in the campus-based programs are awarded in error; in FY 1990, roughly $125 million was awarded in error. Error, as used here, is defined as the difference between need measured with the financial aid information the applicants reported and need measured with the best obtainable documentary evidence of the applicants' financial aid information. Need was recalculated based upon this best available financial aid information and the difference between the two calculations is considered error. The entire amount of the award where an institution made an award that was not in compliance with regulations is also included in this total error figure.

The available data on errors do not provide error rates for individual campus based programs but pertain to all three programs (College Work Study, Supplemental Educational Opportunity Grant, and Perkins Loan) that collectively comprise these programs (III.2).

Recent analyses from the National Postsecondary Student Aid Study (III.3.), by the Department's Planning and Evaluation Service, presented in Table 5, found that:

- 4.5 percent of all postsecondary students and about 8 percent of all full-time students received CWS employment. The percentage of students participating in the program varies by school type. Less than 1 percent of proprietary students receive CWS while about 11 percent of students at private institutions do so.

- 7.2 percent of dependent students but only 2.7 percent of independent students receive CWS employment. Only 1.4 percent of independent students with family incomes over $10,000 receive aid .

- Almost a fifth (18.4 percent) of dependent undergraduate students at private institutions receive CWS employment. This figures represents about 28 percent of undergraduates with family incomes up to $30,000 and 13.2 percent of those with incomes above that figure.

- Less than 1 percent of part-time students received aid.

TABLE 5
PERCENTAGE OF STUDENTS PARTICIPATING IN THE CWS PROGRAM

1989-90 AWARD YEAR

	ALL	INST. TYPE				STATUS	
		2-YR. PUB.	4-YR. PUB.	PRIV.	PROP.	FULL-TIME	PART-TIME
ALL	4.5	1.8	4.6	11.1	0.9	7.9	0.7
GRADUATE	1.8	NA	1.1	3.1	2.2	4.2	0.3
UNDERGRADUATE	4.8	1.8	5.6	13.8	0.9	8.3	0.8
DEPENDENT*	7.2	2.2	6.0	18.4	1.3	9.4	1.2
INCOME							
UNDER $10,000	14.3	6.4	15.6	28.5	2.2	17.3	5.6
$10,000-$29,999	10.9	3.2	11.4	28.2	1.4	14.6	1.1
$30,000 & OVER	4.3	0.8	2.6	13.2	0.7	5.7	0.3
INDEPENDENT*	2.7	1.6	4.8	5.9	0.8	6.4	0.7
INCOME							
UNDER $10,000	5.3	3.5	8.5	11.8	0.9	8.2	1.4
$10,000 & OVER	1.4	0.9	2.2	3.0	0.6	4.3	0.5

* Undergraduates only

Source: III.3.

NOTE: A percentage of participation (e.g., 1.1%) is for each grouping of students that is described by the intersecting row and column descriptors (graduates attending 4-year Public Institutions).

A 1985 study found a positive correlation between work and college persistence. Between 1980 and 1984, 93 percent of first-year students who worked during the academic year stayed in school that year, compared to 83 percent of students who did not work (III.4).

In a 1990 review of research concerned with college work experience for students, four patterns appeared to emerge:

1. At least in the first years following graduation, students who worked during college earn more money;
2. Working has more positive correlation with performance in school when the job is more closely related to college courses;
3. Students who work do not get lower grades than non-workers (III.5).

Management Improvement Strategies

Recent changes in program operations have allowed institutions to operate more efficiently. An electronic student-application delivery system, previously available only on a pilot basis, is now available to any institution that wishes to participate. This system allows institutions to receive applicants' eligibility information electronically the day it is calculated by the Central Processor. This system also allows institutions to electronically transmit application corrections which eliminates time previously needed for mailing and contractor data entry.

During FY 1991, the Department completed planning for an electronic student "renewal application" to be available through schools linked to the Central Processor. This renewal application will allow students to electronically update their information from the previous year's application without using a paper application.

Additionally, the institution's application to participate in the CWS program is now electronically based and paper applications are no longer used. This has increased accuracy and reduced processing time.

ED conducts an annual analysis of electronic processing activities in order to recommend system changes and improvement. This report includes an analysis of the computer edits ED uses to detect inconsistent, suspicious or unreasonable applicant data; an analysis of the electronic communication procedures used for students' application information; and recommendations for improving the effectiveness of the electronic procedures. In future years the report will also include an assessment of the renewal application process.

As part of the Department's quality-control program, mandatory verification continued in FY 1991 to include the CWS program along with other Federal student aid programs. Nationally, approximately 30 percent of all financial aid applications are selected for verification. Each year, the Department requires that institutions verify those financial aid applications that have been selected for verification. Students (and parents, if dependent) are required to submit documentation for key items in the student aid application form (such as tax forms and asset estimates) for review by institutions. Verification and institutional documentation requirements reduce student misreporting in the program.

In addition, the Institutional Quality-Control Pilot Project (III.6) has been implemented to assess the feasibility of developing an institutionally based quality-control system for the Title IV programs.

III. SOURCES OF INFORMATION

1. Fiscal Operations Report 1989-90, unpublished tables from Campus-Based Programs Branch, Analysis Section, Office of Student Financial Assistance, U.S. Department of Education.

2. Integrated Quality Control Measurement Project, Executive Summary (Washington, DC: Price Waterhouse, Inc.) September 1990.

3. National Postsecondary Student Aid Study (Washington, DC: National Center for Education Statistics, Office of Educational Research and Improvement, U.S. Department of Education, 1990).

4. College Students Who Work: 1980-1984 Analysis of Findings from High School and Beyond (Washington, DC: National Center for Education Statistics, Office of Educational Research and Improvement, U.S. Department of Education, 1988).

5. Work Experience for Students in High School and College (Berkeley, CA: National Center for Research in Vocational Education, Reprint Series, 1990)

6. Institutional Quality Control Project Flash Report Trend Analysis, (Washington, DC: Pelavin Associates, Inc., March 1992).

IV. PLANNED STUDIES

The National Postsecondary Student Aid Study for school year 1989-90 will be available in FY 1992. The study is repeated at three-year intervals.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Blanca Rosa Rodriguez, (202) 708-8963

Program Studies : Steven Zwillinger, (202) 401-0182

INCOME-CONTINGENT LOAN DEMONSTRATION PROGRAM
(CFDA No. 84.226)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV-D, as amended (20 U.S.C. 1087a-1087e) (expires September 30, 1992).

Purpose: To demonstrate the feasibility of an unsubsidized student loan program with income contingent repayments. That is, the monthly payment due by the borrower for loan repayment is a function of the borrower's income. The size and number of payments vary by borrower.

Funding History

Fiscal Year	Appropriation
1987	$5,000,000
1988	4,308,000
1989	4,940,000
1990	4,931,500
1991	4,880,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting and Services

Income Contingent Loans (ICLs) are available to undergraduate students who are enrolled at least half-time at one of the ten postsecondary institutions participating in the ICL demonstration program and who meet certain other criteria (e.g., have a high school diploma or its equivalent or demonstrate ability to benefit from the education). Priority is given to students who demonstrate financial need based on the cost of education and the ability of the student and/or the student's family to pay this cost. The calculation of need is based on a Congressionally specified formula applied to the financial data of the student and/or the student's family. If any ICL funds remain after financially needy students have been offered these loans, other students may be offered these loans. Final eligibility and award amounts are determined by the postsecondary institution based on the amount of funds available at the institution and the institution's aid-packaging policy.

The following ten institutions received allocations ranging from $80,667 to $1,227,978 during FY 1991:

Abraham Baldwin Agricultural College
Brown University
Hampton University
Loyola University of Chicago
Marquette University
Metropolitan State College
Rochester Institute of Technology
Rutgers University
University of Missouri at Rolla
Wheeling College

Participating institutions have different packaging policies with respect to income-contingent loans. Table 1 provides summary data for award year 1990-91. The average loan amount by type of institution varied from $1,536 to $2,394. The average loan amount across all institutions was $2,327.

Table 1
1990-91 Income Contingent Loan Program
Distribution of Awards

	Dependent Recipients	Independent Recipients	Average Loan Amount	Number of Schools in Program
Public 4 year	423	364	$2,276	3
Public 2 year	73	28	1,536	1
Private 4 year	2,017	387	2,394	5
Private 2 year	107	5	1,949	1
Total	2,620	784	2,327	10

Source: III.2.

Participation: According to program data, 3,404 students received awards averaging $2,327 in the 1990-91 award year. This represents an increase from 1989-90 when 2,697 students received an average loan of $2,266.

Distribution: Table 2 shows the distribution of awards by family income. Among dependent borrowers 23 percent had no demonstrated need (income data, therefore, are not available) and 30 percent had income above $42,000. Less than half of dependent recipients were need- based with family income under $42,000. For independent students, the distribution is reversed: 71 percent of recipients have incomes lower than $18,000.

Table 2
Number of Awards by Family Income
1990-91 Award Year

Borrowers	Family Income									
Dependent	Under $6,000	$ 6,000-11,999	$12,000-17,999	$18,000-23,999	$24,000-29,999	$30,000-35,999	$36,000-41,999	$42,000 & Over	No Need 1/	Total
Number of Borrowers	132	104	152	184	227	223	218	774	606	2,620
Percent of Recipients	5	4	6	7	9	9	8	30	23	100
Average Loan Amount $	2,211	2,091	2,218	2,148	2,372	2,202	2,182	2,356	2,550	2,334
Independent										
Number of Borrowers	272	189	95	61	32	23	20	14	78	784
Percent of Recipients	35	24	12	8	4	3	3	2	10	100
Average Loan Amount $	2,276	2,257	2,323	2,560	2,559	2,609	2,196	2,637	2,055	2,303

Source: III.2.

1/ Students who had no demonstrated need as measured by the statutory (CM) formula.

Program Administration

ICLs are made directly by the institutions to the students. Loan repayments received by the institution go back into that institution's revolving fund to be made available for future ICLs. The maximum amount of an ICL varies according to the borrower's level in school. First- or second-year students may borrow a maximum of $2,500, third-year students may borrow a maximum of $3,500, and fourth- and fifth- year students may borrow a maximum of $4,500. The aggregate total a student may borrow through the ICL program is $17,500. Actual loan balances may be higher because of the interest accrued.

There is a nine-month grace period after the borrower leaves school when the borrower is not required to make repayments. The grace period applies to borrowers who have dropped out as well as those who have graduated. Interest on the ICL also accrues during the grace period. Once the grace period has elapsed, a borrower who re-enters school may defer loan repayments but is not eligible for another grace period. ICL repayment schedules are based on the annual income of the borrower and spouse, if married. Annual income is determined by the amounts reported on the borrower's and spouse's tax returns. Copies of the tax returns, or an alternative financial statement if no tax returns were filed, must be submitted annually by the borrower to the institution which made the loan.

The annual repayment obligation ranges from 5 percent of the borrower's income during the first two years of the loan, up to 12 percent of annual income in the ninth and subsequent years. If the original loan balance was under $10,000, the maximum obligation is 10 percent of annual income. Borrowers who fail to submit the required tax records have their repayment obligations calculated on the basis of the loan balance. During the repayment phase of the ICL, a deferment may be made in the repayment requirements if the borrower experiences financial hardship. Each institution makes its own determination about granting such deferments.

Outcomes

The objective of the five-year ICL demonstration program is to determine whether ICLs are feasible as a new type of student financial aid. Preliminary findings are available from an evaluation of the program. The survey portion of the study collected data from students who accepted ICL offers, those who declined such offers, and a control group consisting of students receiving financial aid but who were not offered ICLs (III.1).

Compared to the other groups in the study, the survey found that ICL borrowers:

- had more educational debt (had borrowed more);
- had lower personal income;
- received less money from their parents and spouses;
- expected to have a high income one, five and ten years after college; and
- displayed relatively little knowledge about the features of the ICL program.

Preliminary data from the institutions indicate the default rate for all ten institutions is 7.82 percent. Since defaulted ICLs cannot be assigned to the Education Department, it is possible the cumulative default rate will increase over time.

Management Improvement Strategies

During FY 1992, ICL institutions will attempt to increase their students' knowledge about the special features of income contingent loans. They will also increase their contacts with ICL borrowers who have left school, and will collect Federal income tax forms from these borrowers in order to calculate accurately the borrower's monthly repayment amount. In addition, they will meet with one another to discuss improvement strategies.

III. SOURCES OF INFORMATION

1. Income Contingent Loan Demonstration Project: 1990-91 Academic Year (Washington, DC: Pelavin Associates, Inc., March 1992).
2. Program data.

IV. PLANNED STUDIES

Future surveys of the ICL institutions will address ICL borrowers who have left school. Data will be collected on the occupational and financial characteristics of this group of borrowers and their relative capacity and willingness to repay income contingent loans.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Blanca Rosa Rodriguez, (202) 708-8963

Program Studies : Steven Zwillinger, (202) 401-0182

STATE STUDENT INCENTIVE GRANTS
(CFDA No. 84.069)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 3, enacted P.L. 92-318, amended 94-482, 95-483, 96-374, 99-498 (20 U.S.C. 1070c to 1070c-4) (expires September 30, 1992).

Purpose: To help the States develop and expand State-sponsored grant and work-study assistance to students attending postsecondary educational institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$19,000,000	1986	$72,732,000
1975	20,000,000	1987	76,000,000
1980	76,750,000	1988	72,762,000
1981	76,750,000	1989	71,889,000
1982	73,680,000	1990	59,181,000
1983	60,000,000	1991	63,530,000
1984	76,000,000	1992	72,000,000
1985	76,000,000		

II. FY 1990 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting and Services

State Student Incentive Grant (SSIG) awards are available to full-time and part-time students attending postsecondary institutions at the undergraduate and graduate levels. Students must demonstrate substantial financial need based on formulas established by the States and approved by the Secretary of Education. All States make awards to full-time students and some also make awards to part-time students. Reporting of awards to part-time students has been discontinued and no data are available on the number of States exercising this option. In academic year 1989-90, seven States served graduate as well as undergraduate students, and of the 57 eligible entities (50 States plus outlying areas), 14 allowed students to use their grants to attend out-of-State institutions.

Participation: In the 1989-90 academic year, SSIG Federal funds of $71.9 million, matched by the States for a total of $143.8 million, were distributed to 242,579 recipients, with awards averaging $592, approximately the same as in 1984-85. Table 1 shows the changes in average award over the past six years.

TABLE 1

AVERAGE AWARD FOR SSIG RECIPIENTS
AWARD YEARS 1984-85 to 1989-90

Year	1984-85	1985-86	1986-87	1987-88	1988-89	1989-90
Average Award	$594	$609	$644	$687	$562	$592

Some States provide much more than just the required equal match, but it is difficult to identify the distribution of these funds. Including over-matching and other non-SSIG State aid programs, the States distributed over $1.8 billion in aid grants in 1989-90, up from about $1.6 billion in the previous year. In 1989-90, the average award for all State grant programs was about $1,100.

Source: III.1.

Distribution By Sector: The distribution of program funds and of aid recipients across different sectors of postsecondary education has varied only slightly over the past six years. As shown in Tables 2 and 3, public four-year institutions account for 44 percent of the total dollars awarded and half of SSIG recipients. Private four-year institutions have about half as many participants as public four-year schools, but a roughly equal share of the dollars. As a result, awards at private schools are nearly twice the size of awards at public institutions, probably because private-school costs generally are higher than public-school costs.

TABLE 2

PERCENTAGE DISTRIBUTION OF SSIG FUNDS BY TYPE OF INSTITUTION
AWARD YEARS 1984-85 to 1989-90

Award Year	Four-Year Public	Four-Year Private Nonprofit	Two-Year Public & Private Nonprofit	Proprietary
1989-90	44.3	38.8	14.4	2.5
1988-89	40.5	43.0	14.1	2.4
1987-88	42.1	43.4	12.8	1.7
1986-87	44.6	39.7	13.7	2.0
1985-86	43.5	39.6	14.6	2.3
1984-85	41.7	42.2	12.8	3.2

Source: III.1.

TABLE 3

PERCENTAGE DISTRIBUTION OF SSIG RECIPIENTS BY TYPE OF INSTITUTION AWARD YEARS 1984-85 to 1989-90

Award Year	Four-Year Public	Four-Year Private Nonprofit	Two-Year Public & Private Nonprofit	Proprietary
1989-90	50.0	24.7	22.7	2.6
1988-89	49.9	24.7	23.0	2.4
1987-88	51.8	26.1	20.4	1.7
1986-87	51.9	26.9	18.4	2.8
1985-86	51.5	24.7	21.5	2.3
1984-85	51.8	26.8	18.6	2.8

Source: III.1.

Distribution by Income: SSIG awards go primarily to lower-income students. Table 4 shows the percentage of SSIG recipients with family incomes below $20,000 per year (not adjusted for inflation) over a six-year span. If real income levels were used, e.g., constant 1984-85 dollars, the percentages shown in Table 4 would surely increase with time.

TABLE 4

PERCENTAGE OF SSIG RECIPIENTS WITH LOW FAMILY INCOMES AWARD YEARS 1984-85 to 1989-90

Year	Percent of SSIG Recipients With Incomes Less Than $20,000 Per Year (Not Adjusted for Inflation)
1989-90	71.5
1988-89	74.7
1987-88	76.6
1986-87	75.9
1985-86	76.3
1984-85	75.8

Source: III.1.

Program Administration

Each State designates an agency to be responsible for the administration of SSIG funds. The agency may be part of the State government, the State's education department, the organization managing other State grant or loan programs, or a designated corporation acting for the State. The agency receives Federal SSIG funds, matches them at least dollar for dollar with State funds, and distributes them to students (or to institutions for disbursement to students) eligible under the SSIG program.

States determine which institutions are eligible to participate in the SSIG program, although all public and private nonprofit institutions of higher education are eligible to participate unless specifically excluded in the State's constitution or by a State law enacted before October 1, 1978. In addition, 35 States include proprietary (private, for-profit) institutions in their SSIG programs.

Outcomes

Federal SSIG funds accounted for nearly 4 percent of all academic year 1989-90 State grant dollars awarded to students for postsecondary study. Of the 29 entities that did not have grant programs before SSIG, 20 now provide more than a 50-50 match of the Federal allotment. In 13 participating entities, the Federal SSIG allotment continues to make up more than 20 percent of the total State grant programs.

Management Improvement Strategies: States are provided with checking procedures (edits) to review their data to assure accuracy. The Department reviews all State reports annually for the accuracy of application and performance data. In addition, the Department provides case-by-case assistance to the States regarding various administrative aspects of the program and distributes appropriate guidance to all participating entities.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Fred Sellers, (202) 708-4607

Program Studies : Robert Bart, (202) 401-0182

UPWARD BOUND
(CFDA No. 84.047)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 4, Sections 417A and 417C, P.L. 96-374, as amended by P.L. 99-498 (20 U.S.C. 1070d, 1070d-1a) (expires September 30, 1992).

Purpose: To generate among low-income youths and potential first-generation college students enrolled in high school the skills and motivation necessary for success in education beyond high school. The goal of the program is to increase the academic performance and motivation of eligible participants so that they may complete secondary school and successfully pursue postsecondary educational programs.

Funding History

Fiscal Year	Allocation 1/	Fiscal Year	Allocation 1/
1967	$28,000,000	1985	$ 73,614,193
1970	29,600,000	1986	72,338,636
1975	38,331,000	1987	74,548,185
1980	62,500,000	1988	80,413,638
1981	66,501,000	1989	93,584,398
1982	63,720,000	1990	100,781,325
1983	68,366,514	1991	131,643,731
1984	70,754,376		

1/ The allocations represent the amount allocated administratively by the Department from funds appropriated jointly for all six Special Programs for Disadvantaged Students: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-Baccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program's objectives include improved rates of high school graduation for disadvantaged students (Goal 2), improved preparation for college (Goal 3), a special new emphasis on math and science (Goal 4), and increased rates of college access and retention for disadvantaged, many of whom are minority group members (Goal 5).

Population Targeting

To participate in Upward Bound (UB), students must be between the ages of 13 and 19 (except for veterans), have completed eight years of elementary education, need academic support to successfully pursue a program of education beyond high school, be planning to go to college, and need the services in order to fulfill their goals. Participants are selected based upon recommendations from their counselors, teachers, and social agencies. In every project, two-thirds of the participants must be low-income persons (defined as less than 150 percent of poverty level) who are also potential first-generation college students. The remaining one-third must be either low-income or potential first-generation college students.

There are approximately 500 Upward Bound grantees serving 40,000 students. Grants are usually for three years duration. In FY 1991, the Department awarded additional funds to 72 Upward Bound regional centers to establish summer residential programs emphasizing math and science learning.

Services

FY 1991 Awards	Regular	Math/Science Summer Program
Number of new projects 1/	0	72
Number of continuation projects	501	0
Average award	$236,500	$180,860
Number of persons served	36,106	3,347
Average Federal cost per participant	$3,286	$3,880

1/ "New projects" refers to grants awarded at the beginning of a three-year cycle, except math-science centers, which were funded for one year.

Students are recruited for participation in Upward Bound through their high schools, known as "target schools." These target schools are listed in the application and there are approximately 3,300 such schools served by UB projects in the country. Students in UB programs generally participate in an intensive six-week summer residential or non-residential program held on a college campus. They continue to receive academic and support services during the school year, typically on weekends or after school.

The following services are typically provided in the academic year and summer components of the project:

-- instruction in reading, writing, study skills, math and other subjects necessary for success in education beyond high school;
-- academic, financial, or personal counseling;
-- exposure to cultural events;
-- tutorial services;
-- information on student financial assistance;
-- assistance in completing college applications, financial aid applications, preparation for admissions tests; and
-- exposure to a range of career options.

Program Administration

Programs may be sponsored by institutions of higher education, public and private nonprofit agencies, and in exceptional cases, secondary schools. Competitions are held every three years.

Prior experience points are earned by grantees that have conducted an Upward Bound project within three prior years. Up to 15 points can be awarded based on the applicant's prior program performance as an Upward Bound grantee. This is intended to promote continuity in the delivery of services.

Outcomes

Upward Bound has been evaluated several times. The most comprehensive evaluation of the program was undertaken by Research Triangle Institute between 1973 and 1979 (III.2). This study followed a sample of approximately 3,700 Upward Bound participants from 54 sampled projects and 2,300 non-participating matched comparison group students. Two follow-up surveys were conducted. The chief findings from this study were that:

- Upward Bound participants had substantially higher education expectations than non-participants, and these differences increased with the length of Upward Bound participation.

- Upward Bound had no effect on high school graduation rates, but significantly more participants entered postsecondary education. Those who enrolled in college were more likely to attend a four-year institution than non-participants. They were also more likely to attend colleges with high minority enrollment and that hosted an Upward Bound or Student Support Services project.

- Minorities, economically disadvantaged students and students classified as academic risks were particularly more likely to enter college from among Upward Bound participants than from the comparison group.

- Upward Bound participants were more likely to apply for financial aid, and although the probability of receiving aid did not differ from non-participants, aid packages for Upward Bound participants were more likely to include large grants.

- The duration of program participation was associated with an increased likelihood of postsecondary entry. Those in Upward Bound for two or three years were significantly more likely to enter college than those with a single year of program participation.

- No systematic differences were observed between former Upward Bound participants and non-participants on measures of postsecondary persistence. Similarly, there were few differences on measures of educational performance, although Upward Bound participants had lower grade point averages.

An analysis (III.3) of students in the High School and Beyond Senior survey found similar effects of program participation. Upward Bound participants were more likely to enter college and earned more credits than non-participants, but within 18 months after high school graduation, differences in postsecondary persistence were no longer significant.

A more recent analysis (III.4) of data in the High School and Beyond surveys (sophomores and seniors), which included analysis of high school and postsecondary transcripts found that when students are matched on the basis of type of high school attended, race/ethnicity, and family socioeconomic status:

- Upward Bound participants, prior to program entry, earned more math credits and had higher education aspirations than non-participants. Although the differences were not statistically significant, program participants also had slightly higher grade point averages, more science credits, and higher achievement test scores prior to program entry.

- Upward Bound enrollment increases the educational aspirations of students and reading achievement test scores.

- Upward Bound participants were more likely to enter postsecondary education, but two or three years after high school graduation, differences in postsecondary persistence had largely disappeared. There were no systematic differences in rates of college graduation or credits earned.

Management Improvement Strategies

In FY 1991, a total of 72 grants were awarded under the math/science initiative. The Department has recently begun to develop a computerized data base to analyze project performance reports.

III. SOURCES OF INFORMATION

1. Program files.

2. Graham Burkheimer, John Riccobono, Joseph Wisenbaker, Final Report: Evaluation Study of the Upward Bound Program--A Second Follow-up, (Research Triangle Park, NC: Research Triangle Institute, 1979).

3. Steven M. Jung and Applied Systems Institute, Reanalysis of High School and Beyond Data to Estimate the Impact of Upward Bound (Washington, DC: Applied Systems Institute, 1984).

4. David Myers, "The Effects of Upward Bound and Supplemental Service Programs: Findings From Extant Data" (Rockville, MD: Westat, Inc., 1991).

IV. PLANNED STUDIES

The Department of Education has begun a major evaluation of Upward Bound. The first phase of the evaluation will assess the impact on participants during high school. The evaluation will use a random assignment experimental design. Baseline data collection was scheduled for fall 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Goldia Hodgdon, (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

TALENT SEARCH
(CFDA No. 84.044)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 4, Sections 417A and 417B, P.L. 96-374, as amended by P.L. 99-498 (20 U.S.C. 1070d, 1070d-1) (expires September 30, 1992).

Purpose: To identify qualified youths with potential for postsecondary education, to encourage them to complete secondary school and to enroll in postsecondary education programs; to publicize the availability of student financial aid; and to encourage secondary and postsecondary school dropouts to reenter an educational program.

Funding History

Fiscal Year	Allocation 1/	Fiscal Year	Allocation 1/
1967	$ 2,492,000	1985	$20,728,468
1970	5,000,000	1986	19,606,841
1975	6,000,000	1987	20,384,105
1980	15,300,000	1988	22,228,872
1981	17,113,000	1989	26,012,469
1982	17,057,594	1990	27,034,092
1983	17,057,594	1991	59,576,004
1984	17,628,233		

1/ The allocations represent the amount allocated administratively by the Department from funds appropriated jointly for all six Special Programs for Disadvantaged Students: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-Baccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Services provided through Talent Search are designed to increase rates of high school graduation and improve college preparation and access to college for a disadvantaged, largely minority population (Goals 2, 3, and 5).

Population Targeting

Talent Search projects serve disadvantaged individuals who either have completed six years of elementary education or are between ages 12 and 27. In each project, two-thirds of the participants must be low-income persons (from families with incomes less than 150 percent of poverty level) who are also potential first-generation college students.

Services

Similar to Upward Bound, the program's primary goal is to encourage students to graduate from high school and attend some form of postsecondary education. Talent Search also encourages high school and postsecondary dropouts to return to school. Central features in Talent Search are the emphasis on community outreach, and the heavy reliance on personal, academic, and financial aid counseling. Talent Search provides a limited level of service per participant (per capita expenditure is $209), in contrast to Upward Bound, where per capita costs are 14 times greater.

The 295 Talent Search projects funded in FY 1991 provided a range of services to more than 285,000 persons. Services provided by Talent Search projects include:

- academic, financial, or personal counseling;
- career exploration and aptitude assessment;
- assistance with the re-entry process to high school or college;
- information on postsecondary education;
- information on student financial assistance;
- assistance in completing college applications, financial aid applications, preparation for admissions tests;
- exposure to a range of career options;
- tutorial services; and
- exposure to cultural events.

Beginning in FY 1989, priority was placed on serving younger students in the seventh and eighth grades. Fifty-eight current projects received supplemental funds to assist about 8,000 seventh-and eighth-grade students with such services as mentoring, enhanced parental involvement, study skills, and high school follow-up.

	FY 1991
Number of new projects 1/	295
Number of continuation projects	0
Average award	$201,242
Number of persons served	285,373
Average Federal cost per participant	$209

1/ "New projects" refers to grants awarded at the beginning of a three-year cycle.

Program Administration

Competitions for funds are held every three years. Most grants are made to community based organizations and institutions of higher education. Prior experience points are given to grant applicants that have conducted a Talent Search project within three prior years. Up to 15 points can be awarded on the applicant's prior program performance as a Talent Search grantee. This is intended to promote continuity in the delivery of services. In the FY 1988 competition, of grants awarded, 154 (87 percent) went to previous grantees. In FY 1991, the program was expanded substantially, resulting in over 40 percent of the awards being made to new grantees.

Outcomes

The College Board conducted an exploratory study of Talent Search and Educational Opportunity Center programs funded in 1982-83 (III.2). It examined data from 11 local Talent Search projects and annual performance reports and other program data collected by the Department of Education. The study concluded that it was difficult to evaluate program effectiveness because no common method governed the way the projects collect and report data to the program's performance-reporting system; hence, it is impossible to measure aggregate program performance. There have been no subsequent evaluations of Talent Search. The National Council of Educational Opportunity Associations is currently conducting a survey of Talent Search project directors to obtain descriptive information about project characteristics.

Management Improvement Strategies

In FY 1991, the program was expanded to include seventh- and eighth-grade students. The Department has recently begun to develop a computerized data base to analyze project performance reports.

III. SOURCES OF INFORMATION

1. Program files.

2. Paul L. Franklin, Helping Disadvantaged Youths and Adults Enter College: An Assessment of Two Federal Programs (Washington, DC: College Entrance Examination Board, 1985).

IV. PLANNED STUDIES

The National Council of Educational Opportunity Associations has received a Ford Foundation grant to collect descriptive information about program practices in Talent Search. The study is in progress.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Goldia Hodgdon, (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

EDUCATIONAL OPPORTUNITY CENTERS
(CFDA No. 84.066)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Sections 417A and 417E, P.L. 96-374, as amended by P.L. 99-498 (20 U.S.C. 1070d, 1070d-1c) (expires September 30, 1992).

Purpose: To provide information on financial and academic assistance available to qualified adults who want to enroll in postsecondary education and to help them apply for admission.

Funding History

Fiscal Year	Allocation 1/	Fiscal Year	Allocation 1/
1975	$3,000,000	1986	$ 8,813,523
1980	7,700,000	1987	9,209,531
1981	8,000,674	1988	11,162,663
1982	7,800,000	1989	11,508,875
1983	7,800,000	1990	11,901,990
1984	8,101,898	1991	19,144,000
1985	9,209,468		

1/ The allocations represent the amount allocated administratively by the Department from funds appropriated jointly for all six Special Programs for Disadvantaged Students: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-Baccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program serves adults seeking postsecondary education (Goal 5).

Population Targeting

Participants must reside in the target area served by the Educational Opportunity Centers, be age 19 or above, and need services in order to pursue postsecondary education. In any given project, at least two-thirds of the participants must be low-income persons who are also potential first-generation college students. If the services of a Talent Search program are not available in the target area, persons under age 19 may be served.

Services

Educational Opportunity Centers (EOCs) may provide any of the following services:

- academic, financial, or personal counseling;
- career exploration and aptitude assessment services;
- assistance with the re-entry process to high school or college;
- information on postsecondary educational oppportunities;
- assistance in completing applications for college admissions, testing, and financial aid;
- coordination with nearby postsecondary institutions; and
- activities designed to involve and acquaint the community with higher education opportunities.

	FY 1991
Number of new projects 1/	63
Number of continuation projects	0
Average award	$303,878
Number of persons served	146,966
Average Federal cost per participant	$130

1/ "New projects" refers to projects awarded at the beginning of a three-year cycle.

Program Administration

Educational Opportunity Centers programs may be sponsored by institutions of higher education, public and private nonprofit agencies and organizations.

Prior experience points are earned by grantees that have conducted an Educational Opportunity Centers project within three prior years. Up to 15 points can be awarded based on the applicant's prior program performance as an EOC grantee. This is intended to promote continuity in the delivery of services. In the FY 1988 competition, 80 percent of the awards went to previous grantees, but in FY 1991 the program was expanded substantially, which resulted in nearly 60 percent of the awards going to new grantees. Competitions are held every three years.

Outcomes

The College Board studied Educational Opportunity Centers operating in 1982-83 (III.2). They visited six EOCs and examined the annual performance reports and other program data collected by the Department of Education. The researchers concluded that it is difficult to evaluate program effectiveness because no common method governed the way the projects collect and report data to the program's performance-reporting system, and because no standard definition of "client" exists for recordkeeping and reporting; hence, it is impossible to measure aggregate program performance. There have been no subsequent evaluations of the Educational Opportunity Centers program.

Management Improvement Strategies

The Department has recently begun to develop a computerized data base to analyze project performance reports.

III. SOURCES OF INFORMATION

1. Program files.

2. Paul C. Franklin, Helping Disadvantaged Youth and Adults Enter College: An Assessment of Two Federal Programs (Washington, DC: College Entrance Examination Board, 1985).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Goldia Hodgdon, (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

STUDENT SUPPORT SERVICES
(CFDA No. 84.042)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 4, Section 417A and 417D, P.L. 96-374, as amended, (20 U.S.C. 1070d, 1070d-1b) (expires September 30, 1992).

Purpose: To identify low-income, first-generation, or physically handicapped college students who are enrolled or accepted for enrollment by participating postsecondary institutions, and to provide them with necessary support services to pursue programs of postsecondary education successfully.

Funding History

Fiscal Year	Allocation 1/	Fiscal Year	Allocation 1/
1970	$10,000,000	1985	$ 70,083,664
1975	23,000,000	1986	67,070,000
1980	60,000,000	1987	70,961,949
1981	63,885,326	1988	90,809,664
1982	60,702,406	1989	85,390,077
1983	60,555,892	1990	90,898,662
1984	67,294,974	1991	115,233,304

1/ The allocations represent the amount allocated administratively by the Department of Education from funds appropriated jointly for all six Special Programs for Disadvantaged Students: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-Baccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Student Support Services is intended to improve rates of college completion for disadvantaged students, many of whom are minority group members (Goal 5).

Population Targeting

Program participation is directed towards low-income, first-generation, or physically handicapped college students who need support programs to pursue successfully programs of postsecondary education. In any project, two-thirds of the participants must be both low-income and first-generation college students or physically handicapped.

Analysis of data submitted in program performance reports for 1987 (III.6) indicates that:

- 61 percent of the institutions receiving Student Support Service grants were four-year institutions (two-thirds of which were public), 35 percent were community colleges, and 4 percent were two-year private colleges;
- 81 percent of project participants attended public institutions; 16 percent attended four-year private schools; 3 percent attended two-year private schools.
- 60 percent of project participants were from low-income and first-generation backgrounds, 11 percent were handicapped, 7 percent were low-income only, and 22 percent were first-generation only;
- 61 percent of project participants were female and 39 percent were male;
- 43 percent of project participants were white, 32 percent were black, 16 percent were Hispanic, 5 percent were Asian, and 3 percent were Native American/Alaskan.

Services

The 704 projects funded under the Student Support Services program during FY 1991 provided a range of services to more than 163,000 postsecondary students across the country. The services provided include instruction; academic, career, and personal counseling; tutoring; financial aid; services for limited-English-proficiency students; and exposure to cultural events.

	FY 1991
Number of new projects 1/	0
Number of continuation projects	704
Average award	$129,118
Number of persons served	163,049
Average Federal cost per participant	$707

1/ "New projects" refers to grants awarded at the beginning of a three-year cycle.

An analysis of information in performance reports submitted by grantees in 1987 (III.6) shows the percentage of students who received different types of services. The most frequently utilized services involved reading, writing, study skills, and mathematics.

Type of Instructional Services Received, 1987

Percent of Participants Who
Received Service for

SERVICE	INSTITUTIONAL CREDIT	ACADEMIC SUPPORT*
Reading	11%	15%
Writing	10%	17%
Study Skills	9%	23%
Mathematics	15%	22%
English	10%	13%
English Proficiency	3%	5%
Other	6%	10%

*Refers to assistance that does not count for degree credit.

Program Administration

Student Support Services programs may be sponsored only by institutions of higher education. Each applying institution must be prepared to assure that the full financial needs of each participant will be met. Competitions for Student Support Services funding are held every three years. Second- and third-year funding are based on approval of a non-competitive continuation application.

Prior experience points are earned by grant applicants that have conducted a Student Support Services project within three prior years. Up to 15 points can be awarded according to the applicant's prior program performance in service delivery. In the FY 1990 competition, of 704 grants awarded, 91.5 percent went to previous grantees.

According to a 1985 Inspector General's audit report (III.2), there were significant problems in the documentation of student eligibility and services provided to students. In some institutions, there was duplication of services between Student Support Services programs and State-funded programs.

Outcomes

Beginning in 1979, a four-year longitudinal evaluation of the Student Support Services program (III.3) was conducted. The study had the following major findings:

- Students with the greatest need for support services are the least likely to succeed in college.
- There was no clear evidence that various types of academic assistance were related to college persistence, but non-academically oriented services provided to freshmen were positively associated with college persistence. Academic support services received after the freshman year were relatively less successful in improving long-term academic performance than were non-academic services.
- Moderate levels of support services were more effective than either no services or very intensive services. However, students who received moderate levels of services apparently had fewer academic deficiencies to overcome than those who received more intensive services.

- Almost 60 percent of Student Support Services participants were still enrolled in postsecondary education three years after entry, and most were full-time students.

A meta analysis (III.4) measuring the effects of support services for high-risk college students (not just Student Support Services grantees) found that newer programs tended to show greater effects on students' grade point average than older programs; programs emphasizing other than remedial instruction showed greater effects; and program effects of any kind were negligible in community colleges.

A recently completed analysis of High School and Beyond data (III.5) on postsecondary students receiving support services (not just Student Support Services grantees) found:

- Sixty percent of all students in two-year schools use either counseling or tutoring services;

- Seventy-four percent of all students in four-year schools use either counseling or tutoring services;

- Both counseling and tutoring are positively related to the number of credits earned by students in two-year schools; in four-year schools, only tutoring had a positive effect on credits earned;

- After controlling for family, student, and school characteristics, it appears that supplemental services are not related to postsecondary grade-point average or completion of a degree or certificate.

Management Improvement Strategies

In FY 1991, a program initiative was implemented to emphasize transfers from two-year to four-year colleges. A total of 221 two-year institutions are participating in the initiative.

III. SOURCES OF INFORMATION

1. Program files.

2. Office of the Inspector General, "Results of OIG's Limited Review of the Special Programs for Disadvantaged Students" (Washington, DC: U.S. Department of Education, 1985).

3. Follow-up Evaluation of the Special Services for Disadvantaged Students Program (Santa Monica, CA: System Development Corporation, 1983).

4. Kulik, Chen-Len, Kulik, James A., and Shwalb, Barbara J., "College Programs for High Risk Disadvantaged Students: A Meta Analysis of Findings," Review of Education Research, 53, (Fall 1983): pp. 397-414.

5. David Myers, "The Effects of Upward Bound and Supplemental Service Programs: Findings for Extant Data", (Rockville, MD: Westat, Inc., 1991).

6. Program Performance Reports, 1987.

IV. PLANNED STUDIES

The Department began an evaluation of the Student Support Services program in October 1990. An initial report on the effects of program participation will be available in January 1994.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: May Weaver, (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

VETERANS' EDUCATION OUTREACH PROGRAM

(CFDA No. 84.064)

I. PROGRAM PROFILE

Legislation: Title IV, Section 420A of the Higher Education Act (HEA), of 1965, as amended (20 U.S.C. 1070e-1) (expires September 30, 1992).

Purpose: To encourage colleges and universities to serve the special educational needs of veterans, especially service-connected disabled veterans, other disabled or handicapped veterans, incarcerated veterans, and educationally disadvantaged veterans.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$25,000,000	1985	$3,000,000
1975	31,250,000	1986	2,871,000
1980	14,380,000	1987	3,000,000
1981	6,019,000	1988	2,872,000
1982	4,800,000	1989	2,838,000
1983	3,000,000	1990	2,801,000
1984	3,000,000	1991	2,733,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by encouraging postsecondary institutions to provide educational services for veterans.

Population Targeting

The Veterans' Education Outreach program (VEOP) was created in FY 1986 as a replacement for the former Veterans' Cost of Instruction program (VCIP), which was authorized in FY 1972. In FY 1976, there were approximately 910,000 veterans enrolled in postsecondary education and receiving VCIP services. Due to the decline in the number of Vietnam veterans, by FY 1991, there were 141,000 veterans receiving VEOP services.

Services

In FY 1991, there were 504 institutional grants and the average award was $5,392. As shown in Table 1, in FY 1991 there were 327 grants under $5,000, a slight increase from FY 1990. As a result, the average award in FY 1991 decreased by 4.1 percent from FY 1990. In general, though, the distribution of awards has remained stable over time.

Table 1

Number of Institutional Grants by Size, Fiscal Years 1986-1991

Fiscal Year	1986	1987	1988	1989	1990	1991
Average Grant	$5,336	$5,464	$5,555	$5,479	$5,624	$5,392
$5,000 or less	369	353	334	342	318	327
$5,001-$10,000	100	125	108	114	107	107
$10,001-$40,000	62	57	64	58	71	67
$40,001+	7	14	11	4	2	3
Total	538	549	517	518	498	504

Institutions receiving VEOP funds must maintain an Office of Veterans' Affairs and provide outreach and recruitment programs, counseling and tutorial services, and special education programs for veterans, with special emphasis on services for physically disabled, incarcerated, and educationally disadvantaged veterans.

Program Administration

The Veterans' Education Outreach program provides formula grants to institutions of higher education (IHEs) based on the number of enrolled veterans receiving veterans' educational benefits or vocational rehabilitation services. For an institution to be eligible to receive an award, it must enroll at least 100 veterans with honorable discharges or have prior participation in the VCIP for a continuous period of three of the five most recent fiscal years ending on or before September 30, 1985. Additional payments are made for enrolled veterans who are educationally disadvantaged or disabled.

The payment is determined by formula: $300 per full-time equivalent undergraduate eligible veteran; $150 per educationally disadvantaged or disabled veteran; and $100 per full-time equivalent veteran with an honorable discharge who does not receive veteran's educational benefits. These payments are ratably reduced if the amount appropriated is not sufficient to pay the amounts to which all institutions are entitled. Current legislation limits an IHE's total award to $75,000.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Ronald D. Amon, (202) 708-7861

Program Studies : Jim Maxwell, (202) 401-0182

FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION
(CFDA No. 84.116)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title X, Part A, Section 1001-1005, and Title X, Part C, Section 1061-63, as amended by P.L. 99-498 (20 U.S.C. 1135-1135a-3) (expires September 30, 1992).

Purpose: To provide grants to support innovative projects that will encourage the reform and improvement of postsecondary education.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$10,000,000	1985	$12,710,000
1975	11,500,000	1986	12,163,000
1980	13,500,000	1987	13,700,000
1981	13,500,000	1988	13,117,000
1982	11,520,000	1989	13,310,000
1983	11,710,000	1990	13,183,000
1984	11,710,000	1991	16,103,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Fund for the Improvement of Postsecondary Education (FIPSE) addresses Goal 3 by supporting projects to improve performance in challenging subject matter including English, mathematics, science, history and geography, and foreign languages. The Fund also addresses Goal 4 by funding projects designed to increase the number of undergraduate and graduate students, especially women and minorities, who complete degrees in mathematics, science, and engineering. Finally, it supports Goal 5 by supporting projects that aim to strengthen the connection between education and work, projects that try to increase the number of qualified students who complete at least two years of college, and projects that strive to increase the proportion of college graduates who demonstrate an advanced ability to think critically, communicate effectively, and solve problems.

Services

FIPSE makes awards under three programs. The main program is called the Comprehensive program; the other two are the Targeted Competitions and Innovative Projects for Student Community Service. In FY 1991, the Targeted Competitions was known as the Lectures program. Proposals may be submitted by two- and four-year colleges and universities (accredited and nonaccredited), community organizations, libraries, museums, nonprofit trade and technical schools, unions, consortia, student groups, local government agencies, nonprofit corporations, and associations.

In FY 1991, the vast majority of funds ($13,609,000) were awarded through the Comprehensive program. The other two programs were funded at much lower levels--Innovative Projects for Student Community Service received $1,464,000 through a separate appropriation, and the Lectures program received $30,000. The remaining funds were used for a single grant to support minority teacher recruitment through a separate competition conducted by the Department's Office of Higher Education Programs.

In FY 1991, the Comprehensive program supported 184 grants on a wide range of issues, including curriculum reform, access and retention of minority and nontraditional students, assessment of academic program quality, faculty development, teacher training, graduate and professional education, international education, education for a changing economy, and educational technology.

The Lectures program funded a lecture series on topics vital to higher education. The priorities this year were general education in science, articulation of secondary and postsecondary education, and the balancing of teaching and research. In addition, grants were awarded for lectures on multicultural education and campus ethos.

The 27 grants awarded under the Innovative Projects for Student Community Service encouraged student participation in community service activities in exchange for educational services or for financial assistance to reduce educational debt.

Program Administration

FIPSE grants are awarded through a competitive process. Applications are reviewed by FIPSE staff and external reviewers from the higher education community.

Annual priorities are set by FIPSE with the advice of the FIPSE National Advisory Board. This year's award priorities for the Comprehensive program were curriculum reform, improving the educational climate on campus, reducing racial tension, international education, combining subject mastery with teaching technique in teacher education, assessment of learning, and financial reforms and their effects on quality and access, education and the economy, and new applications of technology.

Outcomes

An evaluation of outcomes is required of all grantees as part of their final report. An analysis of these evaluations is conducted annually, and information on the most promising outcomes is included in a subsequent issue of a FIPSE report titled Lessons Learned.

Management Improvement Strategies

FIPSE has begun a number of initiatives to achieve improved project monitoring and enhanced program accountability. These include tighter final report procedures with stronger project evaluation designs, new approaches to the reporting of successful outcomes, and an improved automated data processing system for monitoring the financial status of grants.

III. SOURCES OF INFORMATION

1. Program files.

2. Surveys of funded projects.

3. Lessons Learned report, Volume 1, prepared by FIPSE.

IV. PLANNED STUDIES

The Fund for the Improvement of Postsecondary Education is preparing a second volume of Lessons Learned, which draws on information from final reports of projects and from questionnaires of grantees. Volume 1, which includes projects finished by 1988, was released in fall 1990; volume 2, which will include projects that finished more recently, will be released in the summer of 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Thomas G. Carroll, (202) 708-5750

Program Studies : Elizabeth Eisner, (202) 401-0182

TRAINING PROGRAM FOR SPECIAL PROGRAMS STAFF AND LEADERSHIP PERSONNEL
(CFDA No. 84.103)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 4, Section 417A and 417F, P.L. 96-374, as amended by P.L. 99-498 (20 U.S.C. 1070d, 1071d-1d) (expires September 30, 1992).

Purpose: To provide training for staff employed, or preparing for employment, in the Upward Bound, Student Support Services, Talent Search, Educational Opportunity Centers, and Ronald E. McNair Post-Baccalaureate Achievement programs.

Funding History

Fiscal Year	Allocation 1/	Fiscal Year	Allocation 1/
1978	$2,000,000	1986	$ 957,000
1980	2,000,000	1987	1,006,000
1981	1,000,000	1988	1,229,179
1982	960,000	1989	1,279,181
1983	960,000	1990	1,547,790
1984	960,000	1991	2,236,000
1985	1,302,975		

1/ The allocations represent the amount allocated administratively by the Department from funds appropriated jointly for all six Special Programs for Disadvantaged Students: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-Baccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

By providing training for staff employed in various special programs for disadvantaged students, this program supports Goal 2 (high school completion), Goal 3 (improved academic performance for minorities), Goal 4 (math and science achievement), and Goal 5 (college completion).

Services

The training grants are designed to improve the participants' skills in leadership, management, accounting for Federal funds, providing student support services, and evaluating the impact of project services.

Program Administration

The Training program supports short-term training institutes, workshops, and inservice training programs to improve the skills of staff and leaders. Training topics include student retention, services to handicapped students, learning disabled and English-as-a-Second-Language students, evaluation of program impact, and project management with emphasis on accountability for funds and services. Training includes manuals and other written materials that the trainees retain for future reference and use in training other project staff members.

The projects funded in FY 1991 will provide training to an estimated 3,315 staff members (duplicated count) of the Special Programs for Disadvantaged Students. The trend in the Training program has been toward the development of proposals focused on regional rather than nationwide training workshops, although ED funded one new grant for a National TRIO Training meeting held in April 1992. This trend has resulted in the funding of additional projects rather then increasing awards to established projects.

The single new grant awarded in 1991 is a cooperative agreement by which the Department will conduct a national training workshop for all 1,693 Special Programs projects. The emphasis of the workshop will be on encouraging disadvantaged students to pursue graduate and professional studies and on improving project accountability.

Table 1

DISTRIBUTION OF AWARDS, FISCAL YEAR 1991

	Continuations	New	Total
Number of projects	14	1	15
Average award	$134,147	$405,728	152,252
Number of participants	1,622	1,693	3,315
Average cost per participant	$1,128	$240	$675
Budget authorization	$1,830,272	$405,728	2,236,000

Source: III.1.

Management Improvement Strategies

The Training program will issue a new performance report form to improve program reporting and management in FY 1992. A national conference of all TRIO grantees was held in April 1992 to emphasize the need for program accountability.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operation: May J. Weaver, (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

STRENGTHENING INSTITUTIONS PROGRAM
(TITLE III, PART A)
(CFDA No. 84.031)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title III, Part A, P.L. 96-374, amended by P.L. 99-498 and P.L. 100-50 (20 U.S.C. 1051-1059a) (expires September 30, 1992).

Purpose: To help institutions of higher education with limited financial resources serving significant percentages of needy students become financially self-sufficient.

Funding History

Fiscal Year	Appropriation 1/
1987	$75,467,000
1988	60,060,000
1989	77,459,000
1990	82,911,000
1991	87,830,000

1/The Title III discretionary program was first funded in FY 1966. However, this version was not funded until FY 1987.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports student achievement in many academic fields, including mathematics, science, and engineering for undergraduate and graduate students, especially minority students (Goal 4). This program also supports a knowledgeable and skilled work force (Goal 5) by providing financial assistance to an institution of higher education.

Services

The Strengthening Institutions program supports an annual funding competition for three types of discretionary grants: one-year planning grants, three-year renewable development grants, and four- or five-year development grants which may not be renewed until an amount of time equal to the number of years of the grant has passed. Institutions may use their funds to plan, develop, and implement activities for: faculty and academic program development, funds and administrative management, joint use of libraries and laboratories, acquisition of equipment to be used in strengthening fiscal management and academic programs, and student services.

When the appropriation equals or exceeds $60.5 million, not less than $51.4 million must be made available to two-year institutions, and 25 percent of the funds in excess of $60.5 million must be made available to institutions which enroll the highest percentage of minority students.

The distribution of Part A funds to institutions has remained relatively constant since 1987 (see Table 1).

- o Most of the funds in FY 1991 went to two-year public institutions (70 percent) and to predominantly white institutions (80 percent).
- o Support for Hispanic institutions increased slightly from 7 percent of total funding in FY 1989 to 10 percent in FY 1991.
- o Support for Asian/Pacific institutions has declined from 3 percent in FY 1989 to 1 percent in FY 1991.
- o Support for Historically Black colleges is low because most Historically Black colleges choose to participate in the Strengthening Historically Black Colleges and Universities program (Part B) instead of Part A. No Historically Black College or University which is eligible for and receives funds under Part B may receive funds under Part A.

Program Administration

To apply for a grant, an institution must meet basic eligibility requirements. Basic eligibility requires an institution to be accredited or pre-accredited by the State to grant bachelors' or associates' degrees. The institution must have this basic eligibility requirement for five years prior to receiving a grant, though this requirement can be waived for certain categories of institutions, such as those serving Indian students near a reservation or enrolling significant numbers of minority students.

To be eligible to compete in Part A, institutions must show that they serve substantial numbers of needy students and have limited resources. Need is defined by the percentage of students receiving Pell Grants enrolled at an institution, and resources is defined by education and general (E&G) expenditures per full-time equivalent student. Each year, cut-off values are published for both measures, and institutions with higher Pell participation rates and lower E&G expenditures per student are eligible to compete for funds. There are several allowable waivers to these requirements, for which a written justification is needed.

TABLE 1

STRENGTHENING INSTITUTIONS PROGRAM OBLIGATIONS BY INSTITUTION RACIAL/ETHNIC IDENTIFICATION AND INSTITUTIONAL TYPE AND CONTROL FISCAL YEARS 1989, 1990, AND 1991

	FY 1989			FY 1990			FY 1991		
Institutional Racial/Ethnic Identification*	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars
Historically Black**	1	$499,330	0.6%	1	$491,142	0.6%	1	$488,053	0.6%
Predominantly Black	11	3,431,928	4.4	14	3,644,577	4.4	15	3,906,022	4.4
Predominantly White	222	63,490,933	82.0	227	66,404,806	80.1	231	70,239,282	80.0
American Indian	10	2,401,904	3.1	15	3,085,466	3.7	17	3,520,166	4.0
Asians/Pacific Islanders	6	2,391,067	3.1	5	1,713,320	2.1	5	1,195,484	1.4
Hispanic	19	5,243,838	6.8	30	7,571,689	9.1	37	8,477,263	9.7
Total	269	$77,459,000	100.0%	292	$82,911,000	100.0%	306	$87,829,270	100.1%***
Type and Control									
Four-Year Private	40	$12,461,610	16.1	53	$12,802,370	15.4%	60	$12,783,491	14.6
Four-Year Public	30	10,387,415	13.4	30	8,191,603	9.9	38	10,320,169	11.8
Two-Year Private	13	3,013,218	3.9	12	2,794,640	3.4	14	3,361,495	3.8
Two-Year Public	186	51,596,757	66.6	197	59,122,387	71.3	194	61,361,115	69.9
Total	269	$71,459,000	100.0%	292	$82,911,000	100.0	306	$87,826,270	100.1%***

Source: Program files.

*HBCUs are defined as colleges founded before 1964 for the purpose of educating black Americans. The predominant racial/ethnic categories are institutions where more than 50 percent of students are of that racial/ethnic category.

**Note that HBCUs may not receive funding under both Part A and Part B, the HBCU formula grant program, in the same year.

***Numbers add to more than 100% due to rounding.

Management Improvement Strategies

A national conference was held that included technical assistance workshops to improve continuation applications and projects.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Caroline J. Gillin, (202) 708-8816

Program Studies : Jim Maxwell, (202) 401-0182

STRENGTHENING HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (TITLE III, PART B)

(CFDA No. 84.031)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title III, (Part B), P.L. 96-374, as amended by P.L. 99-498 (20 U.S.C. 1060-1063c) (expires September 30, 1992).

Purpose: To help Historically Black Colleges and Universities (HBCUs) in their effort to educate black, low-income, and educationally disadvantaged students.

Funding History

Fiscal Year	Appropriation*
1987	$51,741,000
1988	73,162,000
1989	84,422,000
1990	95,366,000
1991	99,541,000

*The Title III HBCU program was first funded in FY 1987. However, HBCUs have received funds under Title III since FY 1966.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports student achievement in many academic fields, including mathematics, science, and engineering for undergraduate and graduate students, especially minority students (Goal 4). This program also supports a knowledgeable and skilled work force (Goal 5) by providing financial assistance to an institution of higher education.

Services

The Strengthening Historically Black Colleges and Universities Program consists of two components:

1. Strengthening Historically Black Colleges and Universities (HBCUs) is a formula grant program for HBCUs designed to help improve their programs and management and enhance educational opportunities for students. It also is intended to facilitate a decrease in reliance on governmental financial support and to encourage reliance on endowments and private sources. Part B funds may be used to establish or strengthen the physical plants, faculty support, academic instruction, student services, funds development, financial management, academic resources, and endowments of HBCUs. Up to 50 percent of the funds may be used for construction or maintenance.

   A Part B eligible institution is any accredited, legally authorized HBCU that was established prior to 1964 and whose principal mission was, and is, the education of black Americans. A list of those HBCUs was published in the Federal Register of August 14, 1987. The appropriation is allotted among HBCUs according to the number of Pell Grant recipients among currently enrolled students (50 percent), number of graduates (25 percent), and percentage of graduates attending graduate or professional school in degree programs in which blacks are underrepresented (25 percent). The statute provides for a $350,000 minimum allotment for each eligible institution.

2. The Strengthening Historically Black Graduate Institutions Program provides grants to the following five postgraduate institutions: Morehouse School of Medicine, Meharry Medical School, Charles R. Drew Postgraduate Medical School, Atlanta University, and Tuskegee Institute of Veterinary Medicine. Except for Morehouse School of Medicine, which is authorized to receive $3 million, each institution is limited to $500,000 unless the institution agrees to match the grant. Institutions may use these grants for the same purposes as undergraduate HBCUs, and in addition can use the funds to establish an endowment or a development office to increase contributions from private sources.

The distribution of Part B funds to institutions has remained relatively constant since 1989 (see Tables 1 and 2).

- Support for HBCUs has increased 92 percent from FY 1987 to FY 1991, from $52 million to $100 million.

- In FY 1991, 79 percent of funds went to four-year HBCUs. This percentage has remained relatively unchanged over time.

- In FY 1991, 14 institutions received the minimum award of $350,000. Some of these schools have less than 200 students, resulting in an award per student in excess of $1,750.

- Over time there has been an increase in the size of awards received through the program. This is shown by a large decrease in the number of awards less than $500,000 (from 59 in FY 1987 to 14 in FY 1991) and a large increase in the number of awards over $1 million (from 0 in FY 1987 to 32 in FY 1991).

TABLE 1

STRENGTHENING HISTORICALLY BLACK COLLEGES AND UNIVERSITIES PROGRAM OBLIGATIONS BY INSTITUTIONAL TYPE AND CONTROL
FISCAL YEARS 1989, 1990, AND 1991

	FY 1989			FY 1990			FY 1991		
Institutional Type and Control	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars
Four-Year Private	43	$27,198,775	34.0%	41	$30,321,875	31.8%	43	$33,788,427	33.9%
Four-Year Public	40	34,585,508	43.2	41	44,758,200	46.9	39	45,109,118	45.3
Two-Year Private	6	2,312,613	2.9	6	2,100,000	2.2	6	2,100,000	2.1
Two-Year Public	9	5,011,104	6.3	10	6,717,925	7.0	10	6,832,313	6.9
Graduate*	5	10,868,888	13.6	5	11,468,000	12.0	5	11,710,848	11.8
Total	103	$79,976,888	100.0%	103	$95,366,000	100.0	103	$99,540,706	100.0%

* The five black graduate institutions.

Source: Program data.

TABLE 2

NUMBER OF INSTITUTIONS BY SIZE OF AWARD IN THOUSANDS

	Size of Awards (in thousands of dollars)			
	350	Over 350 to 500	Over 500 to 1,000	Greater than 1,000
1987	42	17	39	0
1988	21	0	67	8
1989	19	0	68	11
1990	15	0	57	26
1991	14	0	52	32

Source: Program files.

Management Improvement Strategies

Technical assistance workshops were held to improve continuing applications and projects.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Caroline J. Gillin, (202) 708-8816

Program Studies : Jim Maxwell, (202) 401-0182

ENDOWMENT CHALLENGE GRANTS
(TITLE III, PART C)
(CFDA No. 84.031)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title III, Part C, P.L. 96-374, as amended by P.L. 99-498 (20 U.S.C. 1064-1065) (expires September 30, 1992).

Purpose: To match endowments raised by eligible higher education institutions that have limited financial resources and serve significant percentages of low-income and minority students.

Funding History

Fiscal Year	Appropriation 1/
1984	$ 7,120,000
1985	15,600,000
1986	22,210,000
1987	19,785,000
1988	19,148,000
1989	12,696,000
1990	17,893,000
1991	17,461,000

1/ Endowment appropriation only, does not include the previously funded challenge grant program.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program also supports a knowledgeable and skilled work force (Goal 5) by providing financial assistance to an institution of higher education.

Services

Endowment Challenge Grants encourage eligible institutions to establish or increase institutional endowment funds. The Federal grant and the institution's matching funds (which together make up the endowment corpus) must be invested in low-risk securities, such as a federally insured bank savings account or a comparable interest-bearing account, certificate of deposit, money market fund, or mutual fund. For a 20-year period after the grant is awarded, institutions may not spend the endowment corpus, but may spend up to one-half of the interest earned on any institutional expense.

Two-year, four-year, or graduate institutions that are eligible for Part A, Part B, or Part B Sec. 326 grants (see chapters 515 and 516) are also eligible for endowment challenge grants. An institution may receive up to two endowment grants in any five-year period. Individual grants must be between $50,000 and $500,000 and must be matched dollar-for-dollar by the institution. However, when Part C appropriation exceeds $10 million, endowment grants over $1 million can be awarded and the Federal-institutional match is $2 Federal to $1 institutional; recipients of such grants are prohibited from reapplying for a period of 10 years.

Analysis of Table 1 reveals the following concerning the distribution of Part C funds:

- o Most of the funds, over 88 percent, went to two-year schools in FY 1991, an increase from 45 percent in FY 1990. Concurrently, the percentage of funds going to four-year private schools is 12 percent in FY 1991, a decrease from 49 percent in FY 1990.
- o Support for HBCUs was $1.0 million in FY 1991 which is a significant decrease from $2.6 million in FY 1989.
- o Support for Hispanic and American Indian institutions is higher in FY 1991 than in FY 1989.

TABLE 1

ENDOWMENT CHALLENGE GRANTS PROGRAM OBLIGATIONS BY INSTITUTIONAL RACIAL/ETHNIC IDENTIFICATION AND INSTITUTIONAL TYPE AND CONTROL FISCAL YEARS 1989, 1990, AND 1991

	FY 1989			FY 1990			FY 1991		
Institutional* Racial/Ethnic Identification	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars
Historically Black	6	$2,600,002	20.8%	2	$2,007,996	11.4%	1	$1,000,000	5.8%
Predominantly Black	1	500,000	4.0	0	0	0.0	0	0	0.0
White	11	6,900,002	55.2	15	11,375,000	64.5	9	9,700,008	56.4
American Indian	1	2,000,000	16.0	1	2,500,000	14.2	1	4,000,000	23.3
Hispanic	1	500,000	4.0	3	1,760,000	10.0	2	2,500,000	14.5
Total	20	$12,500,004	100.0%	21	$17,642,996	100.0%	13	$17,200,008	100.0%
Type and Control									
Four-Year Private	9	$3,900,002	31.2%	5	$8,710,000	49.4%	1	$2,000,000	11.6%
Four-Year Public	0	0	0.0	1	1,007,996	5.7	0	0	0.0
Two-Year Private	2	2,500,000	20.0	1	250,000	1.4	1	1,000,000	5.8
Two-Year Public	9	6,100,002	48.8	14	7,645,000	43.5	11	14,200,008	82.6
Total	20	$12,500,004	100.0%	21	$17,642,996	100.0%	13	$17,200,008	100.0%

Source: Program data.

*A definition of HBCU is found in Chapter 516.

The predominant race or ethnicity is defined as an institution that has more than 50 percent of its students of that race or ethnicity.

Management Improvement Strategies

A national conference was held that included technical assistance workshops to improve proposals and projects.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Caroline J. Gillin, (202) 708-8816

Program Studies : Jim Maxwell, (202) 401-0182

MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAMS (MSIP)
(CFDA No. 84.120)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title X, Part B, Sections 1021-1047, as amended by P.L. 99-498 (20 U.S.C. 1135b-1135d-6) (expires September 30, 1992).

Purpose: To improve science and engineering education at predominantly minority institutions and to increase the participation of underrepresented ethnic minorities in scientific and technological careers.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1972	$5,000,000	1985	$5,000,000
1975	5,000,000	1986	4,785,000
1980	5,000,000	1987	5,000,000
1981	5,000,000	1988	5,266,000
1982	4,800,000	1989	5,307,000
1983	4,800,000	1990	5,416,000
1984	4,800,000	1991	5,855,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program's objectives include an emphasis on achievement in math and science (Goal 4).

Population Targeting

Private and public two-year and four-year institutions of higher education are eligible for Minority Science and Engineering Improvement Programs (MSIP) grants if their enrollments are predominantly (50 percent or more) American Indian, Alaskan native, black, Hispanic, Pacific Islander, or any combination of these or other ethnic minorities who are underrepresented in science and engineering. Nonprofit, science-oriented organizations and professional scientific societies are also eligible if they provide a needed service to a group of institutions eligible for MSIP, including in-service training for project directors, scientists, or engineers.

Table 1

DISTRIBUTION OF FUNDS BY MINORITY OR RACIAL GROUP FOR FY 1989-1991

Racial or Ethnic Group**	Number of Eligible Institutions	FY 1989		FY 1990		FY 1991		FY 1990 or FY 1991
		Amount	Number	Amount	Schools*	Amount	Schools*	Schools*
Alaskan Native	4	$ 0	0	$ 19,850	1	$ 0	0	1
American Indian	28	426,300	4	1,081,120	6	621,966	5	10
Historically Black	100	2,195,821	17	2,175,760	15	3,311,146	19	29
Predominantly Black	27	257,553	1	497,716	2	264,437	1	3
Hispanic (Mexican)	27	1,032,671	5	44,201	1	0	0	1
Pacific Islander/Asian	4	0	0	0	0	0	0	0
Puerto Rico	43	734,101	7	765,496	3	538,212	4	6
Combination	35	613,758	5	638,860	5	906,918	6	10
Non Minority	-	46,759	1	192,993	2	212,200	3	5
Total	268	$5,306,963	40	$5,415,996	35	$5,854,879	38	65

*Some schools receive more than one award under this program. For FY 1990, 3 schools received two awards, so the number of awards in Table 2 is 39. Similarly, for FY 1991, 7 schools received two awards, so the number of awards in Table 2 is 45. Eight schools received awards in both 1990 and 1991, so the total is 35+38-8=65.

**Predominant racial or ethnic group is defined as 50 percent or more students enrolled from that group.

Source: Program files.

As shown in Table 1, only 13 to 15 percent of eligible institutions receive funding in a given year. The largest share of funds goes to Historically Black institutions, which received 40 percent of the appropriation in FY 1990 and 57 percent in FY 1991.

Services

As presented in Table 2, four categories of grants are supported with MSIP funds:

- Institutional Project grants provide assistance to individual minority institutions to support implementation of comprehensive science improvement plans, which may include any combination of activities designed to improve the preparation of minority students for careers in science. These grants have a maximum duration of three years and a maximum award size of $300,000.

- Cooperative Project grants assist groups of nonprofit, accredited colleges and universities to work together to conduct science improvement projects. These grants have a maximum duration of three years and a maximum award size of $500,000.

- Design Project grants provide assistance to minority institutions to plan and develop long-range science improvement programs. The grants have a maximum duration of one year and an award size of up to $20,000.

- Special Project grants support activities that improve the quality of training in science, mathematics and engineering; enhance minority institutions' general scientific research capabilities; provide needed services to groups of eligible minority institutions; or provide inservice training for project directors and faculty from eligible minority institutions. These grants have a maximum duration of two years and a maximum award size of $150,000.

Over $16.5 million has been appropriated for MSIP from FY 1989 through FY 1991. Most of that appropriation has funded institutional project grants, which represented approximately 67 percent of the appropriation in FY 1991. Special grants represented 24 percent of MSIP funding with design grants representing less than 1 percent of the appropriation. The allocation of funds by grant category has remained relatively constant since FY 1989.

Table 2

DISTRIBUTION OF FUNDS UNDER THE MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAMS, FISCAL YEARS 1989, 1990, and 1991

Type of Award	Maximum Size and Duration	1989		1990		1991	
		Amount	Awards	Amount	Awards	Amount	Awards
Institutional Projects	$300,000 3 years	$3,350,825	15	$3,380,729	15	$3,944,916	16
Cooperative Projects	500,000 3 years	893,874	2	898,901	2	473,429	1
Design Projects	20,000 1 year	18,665	1	35,548	2	36,610	2
Special Projects	150,000 2 years	1,043,425	22	1,100,818	20	1,399,924	26
Total		$5,306,789	40	$5,306,789	39	$5,854,879	45

Source: III.1.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Argelia Velez-Rodriguez, (202) 708-4662

Program Studies : Jim Maxwell, (202) 401-0182

LAW SCHOOL CLINICAL EXPERIENCE PROGRAM
(CFDA No. 84.097)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part F, Sections 961-62, as amended by P.L. 99-498 (20 U.S.C. 1134s-1134t) (expires September 30, 1992).

Purpose: To establish or expand programs in accredited law schools that provide clinical experience in the practice of law, with preference given to programs providing legal experience in the preparation and trial of actual cases, including both administrative cases and out-of-court settlements, and to programs providing service to persons who have difficulty in gaining access to legal representation.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1978	$1,000,000	1985	$1,500,000
1979	2,000,000	1986	1,435,000
1980	4,000,000	1987	1,500,000
1981	3,000,000	1988	3,830,000
1982	960,000	1989	3,952,000
1983	605,000	1990	4,935,000
1984	1,000,000	1991	5,855,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

Population Targeting

There were 73 institutional recipients this year, representing about 24 percent of all accredited law schools. The average award per institution was increased from $78,800 in FY 1990 to $80,205 in FY 1991.

Services

Each year, students at participating institutions provide legal assistance to disadvantaged clients. This year, awardees continued to expand the kinds of experiences offered by establishing additional programs that focused on the legal problems of victims of acquired immune-deficiency syndrome (AIDS), the elderly, indigent parents, the homeless, the handicapped, and the disadvantaged.

Program Administration

The Department monitors and provides technical assistance to 35 percent of the ongoing LSCE projects each fiscal year.

Congress mandated that $150,000 of the FY 1990 funds be used to support a national evaluation conference on the program, which was held during September 1990. The conference issued a report recommending that the statutory ceiling of $100,000 per law school be doubled and that the administration of the program be transferred from the Department to the individual schools.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Barbara Harvey, (202) 708-7863

Program Studies : Frank Forman, (202) 401-0182

ASSISTANCE FOR TRAINING IN THE LEGAL PROFESSION
(CFDA No. 84.136)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part E, Section 951, as amended by P.L. 99-498 (20 U.S.C. 1134r) (expires September 30, 1992).

Purpose: To help disadvantaged persons prepare to enter the legal profession by supporting law school preparation and providing stipends.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$ 750,000	1985	$1,500,000
1975	750,000	1986	1,435,000
1980	1,000,000	1987	1,500,000
1981	1,000,000	1988	1,915,000
1982	960,000	1989	1,892,000
1983	1,000,000	1990	2,468,000
1984	1,000,000	1991	2,928,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting

This program is administered by a single grantee, the Council on Legal Education Opportunity (CLEO). All program participants must qualify as disadvantaged.

Services

Working through participating law schools, CLEO helped 230 students from disadvantaged backgrounds gain admission to law school in 1990. Approximately 138 of 175 accredited law schools participate in the program. Stipends increased from $2,800 in FY 1990 to $3,750 in FY 1991. In addition, some participating law schools waive all or part of tuition and fees for program fellows.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

CLEO is studying graduation rates and pass rates on State bar exams for program participants during the last five years. A report will be available in 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Walter Lewis, (202) 708-9393

Program Studies : Frank Forman, (202) 401-0182

PATRICIA ROBERTS HARRIS GRADUATE FELLOWSHIPS
(CFDA No. 84.094)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part B, Sections 921-23 as amended (20 U.S.C. 1134d-1134f) (expires September 30, 1992).

Purpose: To provide, through institutions of higher education, a program of grants to graduate and professional students who demonstrate financial need.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1981	$12,000,000	1987	$14,250,000
1982	10,560,000	1988	18,525,000
1983	11,920,000	1989	19,031,000
1984	13,500,000	1990	19,311,000
1985	14,250,000	1991	20,764,000
1986	13,638,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program provides grants to help minorities and women to attend graduate school, where many pursue studies in fields of science and math (Goal 4).

Population Targeting

Fellowships may be awarded to support financially needy students in two categories: (1) Graduate and Professional Study Fellowships are awarded to minorities, women, and other individuals from groups that are underrepresented in graduate or professional study; and (2) Public Service Education Fellowships are awarded to persons who plan to pursue a career in public service.

Services

Students are eligible for stipends of up to $10,000 for a 12-month period. There is also an institutional allowance of up to $6,000 per student to cover tuition and other expenses.

In FY 1991, 1,179 Graduate and Professional Study Fellowships and 218 Public Service Education Fellowships were awarded (Table 1). New fellowships constituted 50 percent of the Graduate and Professional Study Fellowships and 56 percent of the Public Service Education Fellowships awarded in FY 1991. The average fellowship, which includes both the student stipend and the institutional allowance, is less than the $16,000 maximum award because not all awards are made for the maximum 12-month period and because awards are based on financial need.

TABLE 1 - FY 1991 AWARDS

Graduate Fellowships	Graduate and Professional Study Fellowships	Public Service Education Fellowships
Number of fellowships (total)	1,179	218
New	596	121
Continuation	583	97
Average fellowship	$14,889	$14,436
Number of institutions participating	210	68
Average Federal cost per participating institution	$83,000	$50,000

Source: III.1.

Table 2 indicates that students receiving new Graduate and Professional Study Fellowships in FY 1991 are broadly distributed across different fields of study. However, the majority of awards are made to students in the sciences.

TABLE 2

FIELDS OF STUDY FOR GRADUATE AND PROFESSIONAL STUDY FELLOWSHIPS, FY 1991

Field of Study	Number of Fellowships	Percent of Fellowships
Engineering	91	7.7
Law	60	5.1
Life Science	331	28.1
Chemistry	102	8.7
Math/Science	79	6.7
Psychology	128	10.9
Physical Science	150	12.7
Social Science	118	10.0
Education and Other Fields	32	2.7
Other	88	7.4
Total	1,179	100.0

Note: Includes new and continuing awards.

Source: III.1.

Program Administration

Awardees are limited to a total of 36 months of assistance under the program; however, they may receive a fourth year of assistance if a special justification is accepted. Through FY 1991, no awardee has yet received the additional fourth-year award.

Criteria for financial need are established by the institution. Under the Public Service Education Fellowships, intent to pursue a career in public service is also determined by the institution.

III. SOURCES OF INFORMATION

1. Program files.

2. Each year the Office of Postsecondary Education (OPE) publishes a Funding Directory containing information on awardees. The volume on FY 1992 awardees was due in April 1992.

IV. PLANNED STUDIES

OPE is preparing a report on current grantees based on annual and interim reports. The report will contain data on the demographics of awardees and their degree completion rates. Data on the form of employment of former Public Service Education Fellows will also be contained in the report, which should be available some time in 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Charles Miller, (202) 708-8395

Program Studies : Gregory Henschel, (202) 401-0182

FULBRIGHT-HAYS TRAINING GRANTS PROGRAM
(CFDA Nos. 84.018, 84.019, 84.020, 84.021, 84.022)

I. PROGRAM PROFILE

Legislation: Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act), Section 102(b)(6), P.L. 87-256 (22 U.S.C. 2452 (b)(6)) (no expiration date).

Purpose: To fund programs that promote and improve teaching, research, and curriculum development in foreign language and area studies.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$3,000,000	1985	$5,500,000
1970	2,430,000	1986	5,263,000
1975	2,700,000	1987	5,500,000
1980	3,000,000	1988	5,266,000
1981	6,200,000	1989	5,203,000
1982	4,800,000	1990	5,136,000
1983	5,000,000	1991	5,855,000
1984	5,500,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Services

The Fulbright-Hays Act funds four programs: Group Projects Abroad, Doctoral Dissertation Research Abroad, Faculty Research Abroad, and Special Bilateral Projects. Each targets a different population.

- Group Projects Abroad awards grants to institutions of higher education, State departments of education, and private, nonprofit educational organizations to conduct overseas group projects in research, training, and curriculum development in modern foreign language and area studies. Participants in the group projects are faculty members, teachers, graduate students, and undergraduates in their junior or senior year.

- Doctoral Dissertation Research Abroad provides support for graduate students admitted to doctoral degree candidacy in modern foreign language and area studies at U.S. institutions of higher education. Eligibility is restricted to students who possess the language skills necessary to carry out the dissertation project, who plan a teaching career in the United States upon graduation, and who are United States citizens, permanent residents, or intend to become permanent residents of the United States.

- Faculty Research Abroad provides support for faculty members at U.S. institutions of higher education to conduct research abroad in modern foreign language and area studies.

- Special Bilateral Projects provides funding for seminars abroad on topics in the social sciences, humanities, and foreign languages. The program targets undergraduate faculty members, administrators, supervisors, and curriculum specialists of State or local education agencies with responsibility for the social sciences, elementary and secondary school social studies teachers and supervisors, and teachers of foreign languages.

Program Administration

Table 1 profiles each of the four programs, including details on the number of projects and participants, average awards per project, and budget authority. The largest share of program funds (38 percent) is for the Group Projects Abroad program followed by the Doctoral Dissertation Research Abroad program (29 percent), and then the Faculty Research Abroad and Special Bilateral Projects programs (15 percent each).

TABLE 1

FY 1991 PROGRAM INFORMATION

Program	Number of Projects	Number of Participants	Average $ Award	Budget Authority	USIF Rupees
Group Projects Abroad	34	575	$66,000	$2,255,000	Rs. 9,985,000
Doctoral Dissertation Research Abroad	79	79	21,000	1,689,000 1/	Rs. 2,853,000
Faculty Research Abroad	27	27	32,000	863,000	Rs. 540,000
Special Bilateral Projects	8	137	111,000	891,000	Rs. 1,600,000
Total	148	818 2/		$5,696,000 3/	14,978,000 4/

1. Does not include a grant of $120,000 to the Committee for Scholarly Communications with the Peoples Republic of China, a grant of $40,000 to the Central/Eastern European Initiative, and $38,000 for administration. These figures are also not included in the computation of the average award.
2. Indian Rupees supported an additional 151 participants.
3. Appropriated funds were supplemented with Indian rupees from the United States-India Fund (USIF). Some appropriated funds were used for administrative expenses. Such expenses are not included in this table. Total does not add due to rounding.
4. To convert rupees to dollars for FY 1991, divide by 18. Rupee support was excluded when computing the number of projects, participants, and average awards.

Source: Program files.

The United States Information Agency (USIA) was paid $38,000 for administrative services in support of grant programs. These services were provided by overseas diplomatic missions and by national commissions.

With the exception of bilateral projects which are administered by multinational Fulbright Commissions, Fulbright-Hays Training Grants programs are administered by United States institutions of higher education and, in some cases, State departments of education and nonprofit educational organizations.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Joseph Belmonte, (202) 708-7283

Program Studies : Gregory Henschel, (202) 401-0182

INTERNATIONAL EDUCATION AND FOREIGN LANGUAGE STUDIES

(CFDA Nos. 84.015, 84.016, 84.017, 84.153)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title VI, as amended (20 U.S.C. 1121 et seq.) (expires September 30, 1992), and the Omnibus Trade and Competitiveness Act of 1988, P.L. 100-418, Section 6261 (expires September 30, 1992).

Purpose: To establish programs that support national resource centers; graduate fellowships; research, business, and international education programs; and grants for international and foreign language studies at both the graduate and undergraduate levels.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$15,800,000	1985	$26,500,000
1970	13,002,000	1986	25,408,000
1975	11,300,000	1987	27,550,000
1980	17,000,000	1988	25,419,000
1981	19,800,000	1989	25,855,000
1982	19,200,000	1990	34,658,000
1983	21,000,000	1991	40,012,000
1984	25,800,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Services

The International Education and Foreign Language Studies program includes seven different competitions. Each is intended to strengthen language and area studies at U.S. institutions of higher education.

- National Resource Centers provided 105 grants to institutions of higher education to establish, operate, and strengthen graduate and undergraduate centers that focus on modern foreign languages, and on regional and global studies. Each center offers instruction and conducts research related to particular regions and issues.

- Foreign Language and Area Studies (FLAS) Fellowships provided 133 academic year and summer awards for advanced students in foreign languages, area studies, or international relations. Allocations are made to selected higher education institutions which, in turn, award fellowships to individuals. In FY 1991, approximately 1,030 fellowships were awarded.

- Undergraduate International Studies and Foreign Language awarded 56 grants to institutions of higher education and consortia which are used to plan, develop, and implement programs to strengthen and improve undergraduate instruction in international studies and foreign languages.

- International Research and Studies awarded 31 grants to institutions of higher education, other education-related organizations, public and private agencies, and individuals to support research on the improvement of instruction and the development of specialized instructional materials for foreign-language, area, and related studies.

- Business and International Education provided 43 matching grants to institutions of higher education for projects carried out in partnership with a business enterprise, trade organization, or association engaged in international trade. These projects are designed to enhance international studies programs at colleges and universities, and to expand the capacity of the business community to engage in commerce abroad.

- Centers for International Business Education provided 16 grants to eligible institutions of higher education, or combinations of these institutions, to pay the Federal share of the cost of planning, establishing, and operating multidisciplinary educational centers on international trade. These centers are to serve as a national resource for the teaching of improved business strategies, to provide instruction in critical foreign languages, and to support research and training in international trade.

- Language Resource Centers supported three projects on improved methods of teaching foreign languages. Projects under this award category include the development of new materials, the development and application of proficiency testing, the training of teachers in the administration and interpretation of proficiency tests, the use of effective teaching strategies and new technologies, the publication of instructional materials in less commonly taught languages, the dissemination of research results and teaching materials, and improved pedagogical strategies.

SUMMARY OF FYs 1990 AND 1991 PROGRAM DATA

	FY 1990	FY 1991
National Resource Centers		
Number of centers	94	105
Average award	$123,623	$136,000
Budget authority	$11,620,596	$14,250,000
Foreign Language and Area Studies (FLAS) Fellowships		
Number of programs with fellowship allocations	109	133
Number of academic year fellowships	600	610
Average academic year award	$13,818	$16,000
Number of summer awards	350	420
Average summer award	$2,900	$3,315
Budget authority	$9,400,000	$11,153,000
Undergraduate International Studies and Foreign Language		
Number of programs	59	56
Average award	$49,000	$57,000
Budget authority	$2,827,848	$3,191,000
International Research and Studies		
Number of projects	42	32 [1]
Average award	$65,000	$72,000
Budget authority	$2,714,000	$2,317,000 [2]
Business and International Education		
Number of projects	36	43
Average award	$69,000	$68,000
Budget authority	$2,515,000	$2,934,000
Centers for International Business Education		
Number of projects	11	16
Average award	$280,000	$315,000
Budget authority	$3,083,000	$5,036,000
Language Resource Centers		
Number projects	3	3
Average award	$384,000	$414,000
Budget authority	$1,050,000	$1,242,000

[1] Includes one Small Business Innovation Research program.

[2] Includes $110,000 transferred to the Department of Education from the Department of Defense, and $30,000 allocted to the Small Business Innovation Research program.

Source: III.1.

Program Administration

A study (III. 2) completed in 1989 reviewed all available Federal postsecondary programs for international education and foreign language studies. Among the 35 international education programs analyzed, the study was unable to find any duplication with respect to either the scope of the programs or participants served.

III. SOURCES OF INFORMATION

1. Program files.
2. International Education and Foreign Language Review (Silver Spring, MD: Applied Management Sciences, Inc., 1989).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Joseph Belmonte, (202) 708-7283

Program Studies : Gregory Henschel, (202) 401-0182

COOPERATIVE EDUCATION
(CFDA No. 84.055)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title VIII, as amended by P.L. 99-498 (20 U.S.C. 1133-1133b) (expires September 30, 1992).

Purposes: To encourage (1) the planning, establishing, operating, and expanding of cooperative education projects in higher education institutions; (2) projects demonstrating or determining the feasibility and value of innovative methods of cooperative education; (3) projects training persons to conduct cooperative education programs; and (4) research into methods of improving, developing, or evaluating cooperative education programs in institutions of higher education.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$ 1,540,000	1985	$14,400,000
1975	10,750,000	1986	13,781,000
1980	15,000,000	1987	14,400,000
1981	23,000,000	1988	13,787,000
1982	14,400,000	1989	13,622,000
1983	14,400,000	1990	13,445,000
1984	14,400,000	1991	13,175,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Cooperative education is intended to involve business and college and university students in strengthening the connection between education and work (Goal 5).

Population Targeting and Services

Cooperative Education programs are those having alternating or parallel periods of academic study and employment related to the student's academic programs or professional goals. In FY 1991, 189 eligible higher education institutions and nonprofit organizations submitted applications requesting new grant awards, of which 47 were successful.

Of the 165 new and continuing awards made, 150 were administration grants (39 new and 111 continuation awards), totaling $11,584,000; 5 were demonstration grants (four new and one continuation), totaling $311,000; eight were training grants (two new and six continuations), totaling $1,081,000; and two were research grants (both new), totalling $183,000.

As shown in Table 1, 63 percent of program funds in FY 1991 were received by public institutions, 35 percent by private institutions, and 2 percent by nonprofit organizations. Since FY 1989, larger proportions of the funds have gone to two-year public institutions (from 29 to 34 percent of the total) and four-year private institutions (from 27 to 33 percent of the total), largely at the expense of four-year public institutions (from 39 to 29 percent of the total).

In the case of administration grants, program funds are used by institutions of higher education to pay for the costs of administering cooperative education projects. These funds help pay for salaries of co-op staff and faculty, travel costs, and other direct costs needed to administer the projects.

Funds are also awarded to institutions of higher education and nonprofit organizations to train college and university personnel as well as private sector employers wishing to hire co-op students. In addition, funds are awarded for research and demonstration projects.

Table 1

DISTRIBUTION OF AWARDS FOR COOPERATIVE EDUCATION PROGRAM BY TYPE AND CONTROL OF INSTITUTION FISCAL YEARS 1989-1991

Type and Control	No.	Amount ($000s)	%	No.	Amount ($000s)	%	No.	Amount ($000s)	%
		1989			1990			1991	
Public Higher Education									
Two-year	55	3,883	29	59	4,301	32	55	4,492	34
Four-year	60	5,268	39	54	4,667	34	53	3,888	29
Private Higher Education									
Two-year	4	322	2	4	276	2	3	218	2
Four-year	44	3,682	27	48	3,698	28	52	4,290	33
Non-profit organizations	3	460	3	3	494	4	2	271	2
Total	166	13,615	100	168	13,436	100	165	13,159	100

Source: III.1.

Management Improvement Strategies

A major emphasis is placed on grant management, in conjunction with the Grants and Contracts Service of the Department and the Department's Regional Representatives, along with the primary processing of the awards themselves. The staff provides technical assistance to grantees and prospective applicants by explaining eligibility requirements and the application process. The staff also develops recommendations for program policies, regulations, and legislation.

The program has installed a PC database management system, devised by the program staff, for maintaining program records and files.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: John Bonas, (202) 708-9407

Program Studies : Frank Forman, (202) 401-0182

COLLEGE FACILITIES LOAN PROGRAM
(CFDA No. 84.142)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title VII, Part F, as amended (20 U.S.C. 1132g) (expires September 30, 1992).

Purpose: To assist undergraduate postsecondary educational institutions through subsidized direct loans at reduced interest in support of new construction, reconstruction, or renovation of student and faculty housing, undergraduate academic facilities, and other educational facilities.

Funding History - Before FY 1987

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$13,052,000	1983	$40,000
1980	13,857,000	1984	0
1981	279,000	1985	0
1982	232,000	1986	0

Funding History - After FY 1986

Fiscal Year	Borrowing Authority	Appropriation
1987	$60,000,000	$ 0
1988	62,231,000	0
1989	29,640,000	1,675,000
1990	30,000,000	5,129,000
1991	29,297,000	8,449,000

Before FY 1987, appropriations were made to supplement amounts available in the program's revolving fund from repayments on prior loans and investment income from previously issued participation sales fund. The program's revolving fund, including the appropriation, supported new loan commitments, interest payments on U.S. Treasury obligations and participation certificates, and program operating expenses such as loan servicing. After FY 1986, the program's revolving fund has been used solely to support obligations on loans made prior to FY 1987. No new loans are being made from the revolving fund. Appropriations after FY 1986 have been utilized to support payments on post-1986 borrowing from the U.S. Treasury. New loans commitments after FY 1986 are supported through additional borrowing from the U.S. Treasury as annually authorized in Congressional appropriations bills.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

Services

The College Facilities Loan program assists undergraduate postsecondary educational institutions with direct, low-interest facilities loans. These loans are provided only to institutions unable to secure loan terms and conditions from other sources that are comparable to those offered by the program. Loans must be repaid within 30 years and currently bear an annual interest rate of 5.5 percent. Currently loans are targeted for housing and renovations of older undergraduate academic facilities. A regulatory 10 percent set-aside for historically black colleges and universities is more than met each year.

As seen in Table 1, the volume of new loans declined by half between FY 1988 and FY 1990. These changes in new loans reflect changes in the availability of funds for new loans and in the levels of support authorized by Congress.

In 1986, Congress authorized a private, for-profit insurance company, commonly referred to as Connie Lee, to insure and reinsure commercial loans for education facilities. Seventy-nine percent of Connie Lee's equity capital is owned by the Student Loan Marketing Association and 21 percent by the U.S. Department of Education. Connie Lee's organizational and start-up activities have resulted in minimal issuance of facilities loan insurance during the 1987-1991 period. Connie Lee's insurance volume should increase rapidly and will comprise a large percentage of insured facilities loan volume in the future. Increases in Connie Lee insurance volume are likely to reduce further required borrowing authority and appropriations for ED's College Facilities Loan Program.

Program Administration

Loans are awarded through an application process on the basis of formulae that consider a variety of factors, including current use of facilities and financial need. The Secretary of Education may announce priorities annually; since FY 1987, priority has been placed upon housing construction and the reconstruction and renovation of academic facilities.

In administering the program, the Department of Education uses engineers under an interagency agreement with the Department of Housing and Urban Development to review and monitor projects to ensure project feasibility and compliance with architectural, engineering, and other building design requirements.

The Department of Education also ensures effective credit management in the following ways:

- By taking steps to ensure the financial soundness of new loans, using such resources as delinquency listings, financial status reports, and regulatory provisions;
- By reviewing its inventory of all completed projects to ensure prompt and proper billing by the Federal Reserve Bank, cancelling inactive loans, and enforcing the policy requiring institutions to begin construction within 18 months of loan reservation;
- By using a procedure to ensure prompt delivery of notes and bonds to the Federal Reserve Bank; and
- By conducting in-depth credit reviews and imposing special conditions in loan agreements when necessary.

Table 1

LOAN COMMITMENTS, FISCAL YEARS 1988-1991
(in thousands of dollars)

Year of Commitment	FY 1988		FY 1989		FY 1990		FY 1991	
Type of Award	Number	Amount	Number	Amount	Number	Amount	Number	Amount
Housing Contruction	6	$15,558	7	$14,640	6	$14,565	7	$14,277
Academic Facilities	24	36,673	8	15,000	11	15,435	11	15,000
Total	30	$52,231	15	$29,640	17	$30,000	18	$29,277

Source: Program files.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Walter B. Stevens, (202) 708-9420

Program Studies : Dan Morrissey, (202) 401-0182

INTEREST SUBSIDY GRANTS
(CFDA No. 84.001)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title VII, Part D, (20 U.S.C. 1132e) (expires September 30, 1992).

Purpose: To reduce the cost of construction, reconstruction, and renovation of academic facilities by subsidizing the interest costs on privately funded facilities loans.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 3,920,000	1985	$18,775,000
1970	11,750,000	1986	22,490,000
1975	0	1987	23,000,000
1980	29,000,000	1988	21,878,000
1981	26,000,000	1989	22,744,000
1982	25,500,000	1990	22,127,380
1983	25,000,000	1991	20,396,000
1984	24,500,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

Services

Institutions of higher education and agencies empowered by a State to issue bonds on behalf of private institutions of higher education are eligible for interest subsidies. From FY 1970 through FY 1973, 711 privately secured loans, valued at about $1.4 billion in principal, were approved for Federal interest subsidies. Since FY 1973, no further loans have been approved for subsidization. The subsidy payments have totaled about $405 million from the program's inception through FY 1990. At the end of that year, 531 loans remained in active status. Outstanding loan volume under subsidy continued to decline slightly in FY 1991 as some loans were repaid (Table 1).

Table 1

ANNUAL INTEREST SUBSIDY GRANTS
FISCAL YEARS 1986 TO 1990

	FY 1986	FY 1987	FY 1988	FY 1989	FY 1990
Total number of outstanding loans receiving subsidy	609	601	585	569	558
Total number of loans paid off, withdrawn, or otherwise terminated during year	8	16	16	11	31
Average annual amount of interest subsidy grant	$38,625	$38,479	$38,707	$39,357	$39,655
Total outstanding volume of loans for which interest subsidies are paid (in millions of dollars)	$1,150	$1,117	$1,080	$1,040	$998

SOURCE: III.1.

Program Administration

Subsidy grants, which are administered by the Department's program office, are provided to reduce the interest rate to the institutions or agencies from market levels to 3 percent. The amount of the annual subsidy, calculated each year, is the difference between the interest costs actually incurred by the institutions or agencies on loans obtained from non-Federal sources and a subsidized interest rate of 3 percent. To limit Federal costs, institutions and agencies have been required to demonstrate to the satisfaction of the Secretary of Education that their non-Federal loans were obtained at the lowest possible interest costs.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	Walter B. Stevens, (202) 708-9420
Program Studies :	Daniel Morrissey, (202) 401-0182

SCHOOL, COLLEGE, AND UNIVERSITY PARTNERSHIPS PROGRAM
(CFDA No. 84.204)

I. PROGRAM PROFILE

Legislation: Title V, Part B, Sections 521-525, of the Higher Education Act (HEA) of 1965, as amended, (20 U.S.C. 1105-1105d.) (expires September 30, 1992).

Purpose: To encourage partnerships between institutions of higher education and secondary schools serving low-income students; and to support programs that improve the academic skills of public and private nonprofit secondary school students, increase their opportunities to continue education after secondary school, and improve their prospects for employment after secondary school.

Funding History

Fiscal Year	Appropriation
1988	$2,394,000
1989	$2,760,000
1990	$2,961,000
1991	$3,904,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program is designed to improve academic skills and high school graduation rates of disadvantaged high school students (Goals 2 and 3), and supports a knowledgeable and skilled work force (Goal 5).

Population Targeting

In FY 1991, the fourth year of program operations, it is estimated that 6,066 students will be served. The program serves primarily low-income students who may be at risk of dropping out of high school or, though capable, are not expected to pursue higher education.

Services

Program services include year-round study to provide enriched educational experiences. Program services may include the use of college students to tutor secondary school students, improvement of basic academic skills of high school students as well as skills in specific subjects, and efforts to improve access to postsecondary education and post-high school employment. Projects often provide work-based learning opportunities, mentors, and encourage parent involvement.

Program Administration

Partnerships can receive funding in two program areas: in FY 1991, 14 new awards were made under the Competitive Grant Competition. There were no funds available under the Community College Pilot Projects program. The average grant for fiscal year 1991 is $278,854, and grant awards are made for up to three years. The typical grant is awarded to an institution of higher education or a local education agency for partnership activities that involve institutions of higher education, secondary schools, and businesses.

	FY 1991
Number of projects	14
Average award	$278,854
Range of persons served per project	160-1,080
Total number of persons served	5,468
Average Federal cost per participant	$714

Outcomes

Project performance reports containing information about project outcomes are submitted at the end of a three-year grant cycle. Reports have not yet been submitted to ED. No other studies of project outcomes are available.

Management Improvement Strategies

The Department has recently begun to develop a computerized data base to analyze project performance reports.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: May Weaver, (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

JACOB K. JAVITS FELLOWS PROGRAM
(CFDA No. 84.170)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part C, as amended by P.L. 99-498 (20 U.S.C. 1134h-1134k) (expires September 30, 1992).

Purpose: To assist graduate students pursuing doctoral degrees in the arts, humanities, and social sciences.

Funding History

Fiscal Year	Appropriation
1985	$2,500,000
1986	2,393,000
1987	4,700,000
1988	6,702,000
1989	7,904,000
1990	7,896,000
1991	7,807,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting

Fellowships are awarded on the basis of merit to entering and enrolled graduate students with 20 or fewer credit hours at the time of application. Awards must satisfy the following distribution requirements:

- At least 15 percent in the arts;
- At least 25 percent in the social sciences; and
- At least 40 percent in the humanities.

The remaining 20 percent are allocated by the national board. Approximately 50 percent of the recipients of awards have been men and 50 percent women. Data on other characteristics of recipients are not collected.

Services

As of the end of FY 1991, the Jacob K. Javits Fellows Program had awarded 785 fellowships to graduate students in the arts, humanities, and social sciences. Each award includes payment of $6,000 to the fellow's institution of higher education to cover tuition and fee expenses, regardless of whether actual tuition and fee charges at the institution are above or below this amount. The award also includes a $10,000 maximum stipend to the student, based on financial need. The average combined award during FY 1991 was $15,450.

Program Administration

Students are selected to receive fellowships on the basis of merit by panels of academic scholars appointed by the Jacob K. Javits Fellows Program Fellowship Board, whose members are appointed by the Secretary of Education.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Diana Hayman, (202) 708-9415

Program Studies : Gregory Henschel, (202) 401-0182

PAUL DOUGLAS TEACHER SCHOLARSHIP PROGRAM
(CFDA No. 84.176)

I. PROGRAM PROFILE

Legislation: Higher Education Act of 1965 (HEA), Title V, Part D, Subpart 1, P.L. 99-498, as amended by P.L. 100-50 (20 U.S.C. 1111 to 1111h) (expires September 30, 1992).

Purpose: To encourage and enable outstanding high school graduates to pursue teaching careers at the preschool, elementary school, or secondary school level.

Funding History

Fiscal Year	Appropriation
1986	$ 9,570,000
1987	15,500,000
1988	14,840,000
1989	15,235,000
1990	14,922,000
1991	14,638,810

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program promotes Goals 1, 2, 3, and 4 by improving the quality and increasing the number of teachers and elevating the status of the teaching profession. The program encourages our best and brightest high school students to pursue teaching careers. Improving the quality of teachers and teaching is essential to meeting America 2000 goals.

Population Targeting

To be eligible for a scholarship, the applicant must have graduated from high school, be scheduled to graduate from high school within three months of the date of award, or have received a certificate of high school equivalency (GED). The applicant must rank in the top 10 percent of his or her graduating class or have GED test scores equivalent to ranking in the top 10 percent of graduates in the State or in the Nation. Furthermore, States must establish selection criteria that best meet their teaching needs in order to select scholars from among the eligible applicants. These selection criteria must be reviewed and approved by the Secretary before a State may use them.

Services

This program awards scholarships to high school seniors or graduates who are planning to pursue a career in teaching. Awards are for up to four years of higher education, and are equal to cost of attendance minus Title IV aid, not to exceed $5,000 per year.

The following table shows that since 1987-88 the number of scholarships and average award have remained relatively constant. As the program has matured, the number of renewal scholarships has increased relative to first-time scholarships. Renewal scholarships receive funding priority.

Award Data 1/

Year	Number of Scholarships Total	Number of Scholarships First Time	Number of Scholarships Renewal	Average Award
1986-87 (FY 1986)	1,694	1,694	0	$4,098
1987-88 (FY 1987)	3,025	1,928	1,097	$4,555
1988-89 (FY 1988)	3,614	1,902	1,712	$4,583
1989-90 (FY 1989)	3,615	1,263	2,352	$4,600
1990-91 (FY 1990)	3,248	1,132	2,116	$4,669
1991-92 (FY 1991) (est.)	3,170	N/A	N/A	$4,620

N/A - Not Available.

Source: Program files.

1/ Total scholarships times average award do not equal appropriations for a given year because funds not expended in a given year are returned and can be used for awards in a later year.

Program Administration

The Douglas program is administered by either the State agency that administers the State Student Incentive Grant program or the Guaranteed Student Loan program. Either a selection panel of school administrators, teachers and parents, or an existing grant agency in the State establish specific scholar selection criteria. Particular efforts are made to attract students from low-income backgrounds or who express a willingness or desire to teach in schools having less than average academic results or serving large numbers of economically disadvantaged students. Forty-five States, the District of Columbia, Puerto Rico, and the Northern Marianas participate in the program.

Outcomes

Data from the 1990-91 Performance Reports included information on scholarship recipients from the cohorts of FY 1986 through FY 1990. These 1990-91 Reports indicated that as of FY 1990, 35 percent of the scholarship recipients were teaching, 25.5 percent were certified to teach but were not yet teaching, 3.0 percent were in repayment status (students who have decided not to teach and are repaying their scholarships), and 36.5 percent were in school. Among scholarship recipients who were certified in 1989-90, 76.5 percent were teaching in the 1990-91 academic year and 23.5 percent were not teaching. Data on the FY 1991 and FY 1992 cohorts are not yet available.

Management Improvement Strategies

States are provided with edits used to check their data to assure accuracy. In addition, the Department reviews all State reports for the accuracy of application and performance data. Department staff review edits annually to refine them and to improve data quality. Finally, the Department provides case-by-case assistance to the States regarding various administrative aspects of the program and distributes appropriate guidance to all participating entities.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Fred Sellers, (202) 708-4607

Program Studies : Elizabeth Eisner, (202) 401-0182

ROBERT C. BYRD HONORS SCHOLARSHIP PROGRAM
(CFDA No. 84.185)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 6, as amended, (20 U.S.C. 1070d-31 et seq.) (expires September 30, 1992).

Purpose: To promote academic excellence and achievement among students and to recognize exceptionally able students who show promise of continued excellence.

Funding History

Fiscal Year	Appropriation
1987	$8,000,000
1988	7,659,000
1989	8,200,000
1990	8,627,000
1991	9,271,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy and a knowledgeable and skilled work force (Goal 5) by providing financial assistance to students for postsecondary education and training.

Population Targeting

To be eligible for a scholarship, the applicant must have a high-school degree or equivalent and must have been accepted for enrollment at an institution of higher education. The scholarships are awarded on the basis of merit for the first year of study at an institution of higher education and are not renewable.

Byrd Scholars are selected on the basis of demonstrated academic achievement and promise of continued academic achievement. They are also selected without regard to which institutions of higher education they plan to attend.

Services

Byrd Scholarships were awarded for the first time in the spring of 1987, for study in the 1987-88 academic year. Each scholarship recipient received $1500 for the first year of study at an institution of higher education. Nationwide, 4,370 scholarships were awarded in FY 1987; 5,175 in FY 1988; 5,138 in FY 1989; 5,384 in FY 1990; and an estimated 5,561 in FY 1991.

Program Administration

The Byrd Scholarship Program is administered by each State education agency, which establishes specific scholar-selection criteria in consultation with school boards, teachers, counselors, and parents. All 50 States, the District of Columbia, and Puerto Rico participate in the program. According to the appropriations language, which has overridden the statute every year, the scholarships are allocated to each State in proportion to its school-age (5-17) population, except that each State shall have at least 10 scholarships. The statute does not specify how the scholarships should be allocated. It simply states that each Congressional district shall have at least 10 scholarships.

Management Improvement Strategies

States are provided with edits with which to check their data to assure accuracy. In addition, the Department reviews all State reports for the accuracy of the performance data. Department staff review edits annually to refine them and to improve data quality. Finally, the Department provides case-by-case assistance to the States regarding various administrative aspects of the program and distributes appropriate guidance to all participating entities.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Fred Sellers, (202) 708-4607

Program Studies : Elizabeth Eisner, (202) 401-0182

MINORITY PARTICIPATION IN GRADUATE EDUCATION
(CFDA No. 84.202)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part A, Sections 901-903, as amended by P.L. 99-498 (U.S.C. 1134-1134b) (expires September 30, 1992).

Purpose: To provide talented undergraduate students from minority groups underrepresented in graduate education with opportunities to participate in research and scholarly activities designed to prepare the students for graduate study.

Funding History

Fiscal Year	Appropriation
1988	$3,351,000
1989	3,476,000
1990	3,547,000
1991	5,593,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program's objectives include increased college access and retention for minority students (Goal 5).

Population Targeting

In FY 1991, 11 applications were received from HBCUs, 8 of which were funded. Of the remaining awards, 43 went to other public institutions, 21 to other private institutions (Table 1).

TABLE 1

FY 1991 APPLICATION AND AWARD DATA

	Applications	Awards
HBCUs	11	8
Other Public	77	43
Other Private	37	21
Total	125	72

Of the 72 awards made in FY 1991, 20 were made to institutions proposing to serve exclusively Blacks; 18 serving Blacks and Hispanics; 22 serving Hispanics and Native Americans; 7 serving Blacks, Hispanics, Native Americans, and Pacific Islanders; 1 serving Blacks and Native Americans; and 4 serving all eligible minority groups, including those named above in addition to Alaskan Natives.

Services

Institutions of higher education compete for grants under this program. Such grants support direct fellowship aid including need-based stipends, room and board costs, transportation costs, and tuition for summer research internships and seminars for which credit is given by the institution to participating talented, minority undergraduate students.

In FY 1991, the program served 1,750 students in 72 projects. This reflects an expansion of the program from FY 1990, when 1,034 students were served in 49 projects.

TABLE 2

PROGRAM DATA, FISCAL YEARS 1988-1991

Fiscal Year	1988	1989	1990	1991
Number of Students	1,041	1,000	1,034	1,750
Number of Projects	39	45	49	72
Average Expenditure Per Student	$3,219	$3,476	$3,430	$3,467

Program Administration

Projects are funded for one year, are not renewable, and have a maximum award of $100,000. The Office of Postsecondary Education has adopted a policy that expenditures per student may not exceed $5,000. This policy was adopted to ensure that a maximum number of students will be served.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Walter Lewis, (202) 708-9393

Program Studies : Gregory Henschel, (202) 401-0182

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED
(CFDA No. 84.202)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part D, Sections 941-46 as amended (20 U.S.C. 11341-1134q) (expires September 30, 1992).

Purpose: To sustain and enhance the capacity for teaching and research in areas of national need by providing, through grants to institutions of higher education, fellowships to assist graduate students of superior ability who demonstrate financial need.

Funding History

Fiscal Year	Appropriation
1988	$ 7,659,000
1989	12,844,000
1990	15,793,000
1991	24,885,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program assists needy students in the fields of math and science (Goal 4). By enhancing education in critical areas, the program promotes the skills Americans need to compete in the world economy (Goal 5).

Population Targeting

Fellowships are provided to graduate students of superior ability who demonstrate financial need. Fellowship awards must be in an academic area designated by the Secretary as an area of national need. In its first year of operation, FY 1988, the Department determined that the areas of national need were chemistry, engineering, mathematics, and physics. The areas of national need were unchanged in FY 1989 and FY 1990. In FY 1991, foreign languages was added to the four previously designated areas of national need.

Services

Awards are made through institutions to students. In FY 1991, 52 continuation awards and 98 new awards were made to institutions. The new awards included 26 in chemistry, 26 in engineering, 5 in foreign languages, 17 in mathematics, and 24 in physics.

Through FY 1991, approximately 4,650 fellowships have been awarded from a cumulative funding of $61,181,000. The average fellowship increased from $12,323 in FY 1988 to $14,187 in FY 1991. The cumulative number of fellowships in the various academic areas since FY 1988 are as follows: chemistry, 1,332; engineering, 1,020; foreign languages, 50; mathematics, 1,108; physics, 1,140.

Fellowships awarded under these grants include a stipend that may not exceed $10,000 per calendar year, and an amount to the institution (not to exceed $6,667 per calendar year) to cover tuition, fees, and other education costs. Institutions receiving grants must match Federal funds with a 25 percent contribution to be used for additional fellowships that meet the Federal guidelines.

Program Administration

Competitive awards are made annually and can be renewed for up to a total of three years. Grantees can compete repeatedly, thus remaining in the program indefinitely. Awards in FY 1991 ranged from $100,000, the minimum allowable, to $393,000. The average new award was $170,000, up from $152,000 in FY 1990, and surpassing the FY 1989 average of $162,000. Awards are capped at $500,000. Due to the three-year cycle of grants, the number of new awardees varies greatly in some years--20 new awards were made in FY 1990, whereas 98 new awards (out of 240 proposals) were funded in 1991.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

A report on grantees entering the program in FY 1989 is being prepared using annual performance report data. The report will provide detailed program and awardee data, and is due in 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Carolyn Proctor-Kelly, (202) 708-9419

Program Studies : Gregory Henschel, (202) 401-0182

HOWARD UNIVERSITY
(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Congress issued a charter for Howard University on March 2, 1867 (codified throughout 20 U.S.C. 120 to 130) (no expiration date).

Purpose: To aid in the construction, development, improvement, endowment, and maintenance of Howard University.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1879	$ 10,000	1960	$ 7,148,000
1880	10,000	1966	13,902,000
1885	24,500	1970	59,964,000
1890	29,200	1975	81,700,000
1895	29,500	1980	121,893,000
1900	35,100	1981	133,983,000
1905	47,600	1982	145,200,000
1910	104,735	1983	145,200,000
1915	101,000	1984	156,200,000
1920	243,000	1985	158,230,000
1925	591,000	1986	157,168,000
1930	1,249,000	1987	170,230,000
1935	665,241	1988	172,203,000
1940	754,160	1989	178,973,000
1945	1,280,575	1990	182,446,000
1950	4,262,000	1991	195,212,000
1955	5,082,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports student achievement in many academic fields, including mathematics, science, and engineering for undergraduate and graduate students, especially minority students (Goal 4). This program also supports a knowledgeable and skilled work force (Goal 5) by providing financial assistance to an institution of higher education.

Population Targeting

Howard University, located in Washington, D.C., provides a major avenue of postsecondary access and opportunity for blacks and others from disadvantaged backgrounds. Chartered by Congress in 1867 to provide such opportunities, Howard University serves about 12,000 students annually, approximately 86 percent of whom are members of minority groups. Foreign students comprise about 14 percent of enrollment.

Howard University's students are enrolled in 18 undergraduate, graduate, and professional schools. The University offers master's degrees in more than 85 areas and doctoral degrees in 24 fields. To support its academic programs, the university provides library services, administrative support, and research opportunities for its students.

Services

Federal funding includes support for the University's academic program, endowment, research, construction, and hospital (Table 1). The appropriation for the academic and research programs decreased in FY 1991, while the appropriation for the hospital and endowment programs increased. Two-thirds of education and general (E&G) expenditures are now derived from Federal appropriations (Table 2).

In FY 1991, 17 percent of hospital support was derived from the Federal appropriation, compared to 53 percent in FY 1976. An agreement was made in 1977 between Howard University and the Department of Health, Education, and Welfare that the hospital would become more self-supporting over time. The appropriation for the hospital decreased slightly in FY 1988 and FY 1989, remained constant from FY 1989 to FY 1990, and increased from FY 1990 to FY 1991.

Federal support for construction assists Howard University in providing physical facilities that are suitable for classroom instruction, research, and administrative support services, and facilities that are adequate for an educational institution to sufficiently accomodate a student body of approximately 12,300. In FY 1991, an emergency construction grant was awarded for the renovation of Cooke Hall, a dormitory on the university campus.

The endowment grant program is designed to assist the University in meeting its future needs and to reduce long-term Federal funding requirements by stimulating private contributions. Howard University receives these Federal funds as an endowment grant, provided that it matches the grant through non-Federal contributions. In FY 1991, the University was able to match 100 percent of available funds.

The research program is designed to improve Howard University's capacity to compete for and acquire research grants.

Foreign students comprise about 14 percent of Howard University's students. Historically, they have been charged the same tuition and fees as other students. Recently, the Congress required a tuition surcharge for foreign students. The tuition surcharge for all new foreign students was 10 percent for academic year 1990-91, 30 percent for 1991-92, and will be 50 percent for 1992-93 and all future academic years. There is no surcharge for foreign students who first enrolled prior to those years.

TABLE 1
APPROPRIATIONS BY FUNDING CATEGORY, FISCAL YEARS 1987 to 1991

	FY 1987	FY 1988	FY 1989	FY 1990	FY 1991
Academic program	$141,124,000	$145,752,000	$151,357,000	$155,306,000	$153,513,000
Endowment grant	2,000,000	500,000	1,482,000	1,500,000	2,928,000
Research	5,000,000	4,787,000	4,730,000	4,730,000	4,616,000
Hospital	22,106,000	21,164,000	20,910,000	20,910,000	28,300,000
Emergency Construction	---	---	---	---	5,855,000
Subtotal	$170,230,000	$172,203,000	$178,479,000	$182,446,000	$195,212,000
Reappropriation for endowment grant	---	---	494,000	---	---
Total	$170,230,000	$172,203,000	$178,973,000	$182,446,000	$195,212,000

SOURCE: Program files.

TABLE 2
SELECTED STATISTICS FOR HOWARD UNIVERSITY, FISCAL YEARS 1987 to 1991

	FY 1987	FY 1988	FY 1989	FY 1990	FY 1991
Total number of students 1/	13,757	12,276	13,181	12,506	12,299
Academic appropriation per student	$10,258	$11,873	$11,483	$12,419	12,482
Percentage of E&G expenditures from Federal appropriation	69	69	65	67	68
Percentage of support for hospital from Federal appropriation	16	16	15	13.5	17

1/ Includes summer school enrollment.
SOURCE: Howard University.

Outcomes

Howard University has trained many of the minority physicians and dentists in this country. The University continues to be a major national resource for minority students in communications, business, public administration, engineering, architecture, law, and many other disciplines.

A 1990 study (III.3) requested by Congress compared the expenditure and revenue patterns of Howard University to those of four other groups of higher education institutions: selected private institutions with hospitals, chosen by Howard University as its peers; public universities with hospitals; institutions that have admissions overlap with Howard University; and historically black colleges and universities. Data for this comparative analysis were from 1985-86, the most recent academic year available at that time. Among the principal study findings were the following:

- o Although Howard University is a private institution, its revenue sources most resembled those of public institutions with hospitals. The main difference was that Federal funds supported Howard University, whereas the public institutions with hospitals received State appropriations.

- o Howard University's expenditures most closely resembled those of private institutions with hospitals. However, Howard University spent a considerably smaller proportion of expenditures on research (6 percent) than did other private institutions with hospitals (24 percent).

- o Howard University spent substantially more for administrative expenses per full-time equivalent (FTE) student than any other type of institution.

- o Howard University also spent more for plant operation and maintenance per FTE student than any of the comparison groups.

A 1991 management review of Howard University (III.4), which was a follow-up study to the above report, confirmed the earlier comparisons of Howard to peer institutions and conducted extensive additional analyses. The principal findings of the review are as follows:

Strategic Planning: The University should review its initiatives contained in the Howard 2000 plan (III.6.), quantify costs and savings in more detail, prioritize programs, and develop a detailed implementation plan and associated schedule. A definitive plan for tracking and execution of these initiatives should also be developed. Given limitations on financial resources such as cash balances and additional debt capacity, the University should aggressively pursue additional cost saving measures, improve fund raising performance, and reduce the subsidy from the University to the Howard University Hospital. Unless stringent cost-saving measures are adopted, the University will have a deficit of $50 million per year by the year 2000, assuming that the Federal appropriation increases at historical growth rates.

Fund raising: Howard's annual privately raised funds trail those of peer institutions. Howard's alumni response rate (8 percent) was far below that of the peer institutions.

Tuition pricing: Despite substantial tuition increases over the last 4 years, the University's tuition remains markedly below that of private peer institutions. Howard's tuition is significantly more than in-State tuition for almost all public peer institutions but below their out-of-State student tuition.

University-sponsored financial aid awards have increased more rapidly than tuition recently. Financial reasons do not appear to contribute significantly to the high dropout rate or declines in enrollment.

The University has not released financial data on foreign students that would allow the Department to assess their ability to afford Howard's tuition and fees. Without evidence that foreign student enrollment is sensitive to tuition, the foreign student surcharge appears appropriate in light of the portion of educational costs recovered through tuition charges for out-of-State students at State-supported institutions.

Student services: The services provided by the University are comparable to peer institutions, but its expenditure per full-time-equivalent student is much higher for these services.

The poor quality and limited availability of housing may be a factor contributing to declining enrollment.

The University has a high rate of violent crimes compared to similar urban institutions. Although the security staff is small compared to other universities, improvements could be brought about through better use of automation and crime prevention equipment.

Academic programs: The recommendations of the Howard University Commission Report (III.5) focus primarily on restructuring academic departments, adding or eliminating course offerings, increasing the University's research activities and increasing enrollment. In response to the Report, the tactics outlined in the Howard 2000 plan (III.6) for specific academic departments do not directly address the quality of academic programs and the impact on student outcomes. In fact, the University does not maintain data on student outcomes, such as advanced degrees, professions and income levels. However, as an indicator of academic quality, the University graduates only 42 percent of full-time entering students within seven years, despite a low student-to-faculty ratio of 4 to 1, which is much lower than the 10 to 1 average of the comparison groups.

The University's faculty are compensated slightly less than peers at the comparison group schools. However, salary increases have been higher than average over the past few years in an effort of the University to become more competitive. Faculty costs are impacted by the University's very low student-to-faculty ratio.

Physical facilities: As a percentage of total education and general budget, Howard's funding for physical facilities is reasonable when compared to peer institutions. The budget for deferred maintenance, however, is inadequate given existing needs.

The University has estimated that priority capital projects will require an investment of $118 million over the next eight years. This estimate is based on a faculty needs assessment recently conducted by an outside contractor (III.2.).

Administrative operations: Howard continues to have high administrative expenditures as a percentage of total educational and general expenditures.

Research spending: Howard spends less per student on research activities than the comparison group averages and the rate of increase has been slower.

Endowment: The Department has urged the University to strengthen efforts to match the Federal endowment grant; in FY 1991, the University matched all available funds.

Hospital: Congressional legislation stipulates that the Howard University hospital become progressively more self-supporting over time.

The Howard University Commission Report and the Howard 2000 Plan

Upon becoming the fourteenth President of Howard University, Dr. Franklyn Jenifer announced that one of his first priorities was to evaluate the University's programs relative to its stated mission. The Howard University Commission was charged with this task. The Commission included 22 University faculty members and 12 prominent business and civic leaders.

The Howard University Commission Report (III.5) Investing for Excellence documents and evaluates the current state of the University's degree programs with respect to quality of program, utilization and quality of faculty, and student outcomes. Over 100 recommendations are made to improve the effectiveness of University operations, including the elimination or restructuring of certain academic programs and upgrading deficiencies in infrastructure.

Based on the Howard University Commission Report, President Jenifer drafted the Howard 2000 plan (III.6) listing strategic recommendations intended to achieve the goals of the Commission. The plan focuses and prioritizes the recommendations of the Commission to identify the steps and tactics necessary to improve the effectiveness of the University.

The University has estimated that implementation of the Howard 2000 recommendations will cost $3 million initially, with annual savings of $3 million each year thereafter. The University was unable to provide any supporting documentation or assumptions for these estimates to the authors of the management review described above (III.4.).

III. SOURCES OF INFORMATION

1. Program files.
2. Howard University.
3. Howard University: A Comparative Fiscal Analysis (Washington, DC: Pelavin Associates, Inc., April 1990).
4. Management Review of Howard University (Washington, DC: Ernst & Young, May 1992).
5. Investing for Excellence: Strategically Repositioning Howard University to Face the Challenges of the Twenty-First Century (Washington, DC: Howard University, 1990). (Howard Report.)
6. Howard 2000: A Blueprint for Building a Stronger University to Face the Challenges of the Year 2000 and Beyond (Washington, DC: Howard University, 1991). (Howard Plan.)

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Stephanie Watkins, (202) 708-9069

Program Studies : Robert H. Berls, (202) 401-0182

DRUG PREVENTION PROGRAMS IN HIGHER EDUCATION
(CFDA No. 84.183)

I. PROGRAM PROFILE

Legislation: The Drug-Free Schools and Communities Act of 1986, as reenacted by Title V, Part D, Section 5131(d) of the Elementary and Secondary Education Act of 1965 (P.L. 100-297), as amended by the Anti-Drug Abuse Act of 1988 (P.L. 100-690), the Drug-Free Schools and Communities Act Amendments of 1989 (P.L. 101-226), and the Crime Control Act of 1990 (P.L. 101-647) (20 U.S.C. 3211) (expires September 30, 1993).

Purpose: To encourage the development, implementation, operation, and improvement of drug education and prevention programs for students enrolled in institutions of higher education (IHEs).

Funding History

Fiscal Year	Appropriation
1987	$ 7,780,000
1988	9,643,000
1989	13,902,440
1990	14,186,000
1991	14,147,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program promotes educational institutions that are free of drugs and violence (Goal 6).

Population Targeting

Only institutions of higher education (as defined by the Elementary and Secondary Education Act of 1965) are eligible for grants. Students enrolled in institutions of higher education are the target population.

Services

The Drug Prevention Programs in Higher Education (DPPHE) provide grants to institutions of higher education through the Institution-Wide, Special Focus, and Analysis and Dissemination programs.

- The Institution-Wide program supports a variety of drug prevention efforts directed at comprehensive and institution-wide involvement and change. Funding is targeted toward campus programs that have a substantial institutional commitment and are likely to continue beyond the period of Federal support.

- The Special Focus programs support activities designed to increase or facilitate the success of comprehensive drug prevention programs that are not likely to be the focus of an institution-wide program. The three Special Focus programs include:

  1. The National College Student Organizational Network program, which supports the development and implementation of drug prevention programs conducted in conjunction with national student organizations, or groups or networks of such organizations that wish to pursue drug abuse education and prevention as their mission or their principal service activity;

  2. The Approaches to Accountability in Prevention program, which supports the formulation of promising new approaches to institutional and individual leadership and responsibility related to drug abuse education and prevention in higher education; and

3. The Specific Approaches to Prevention program, which supports the specific approaches to the prevention of drug use or alcohol abuse. Under this program, Fund for the Improvement of Postsecondary Education (FIPSE) established the following 1991 Invitational Priority: The Higher Education Consortia for Drug Prevention Program. This program supports the organization and implementation of monthly drug and alcohol prevention meetings among local groups of institutions of higher education wishing to improve their own campus-wide programs.

o The Analysis and Dissemination programs currently support analysis and dissemination activities associated with the Institution-Wide programs through:

1. The Dissemination of Successful Institution-Wide Projects program, which supports the transfer of successful Institution-Wide programs or individual components of them to additional institutions of higher education, to help them start, carry out, and institutionalize effective programs.

2. The Analysis of Institution-Wide Projects program, which supports the analysis of cross-cutting outcomes from a number of completed Institution-Wide programs.

Table 1 displays the number of awards granted in FYs 1987-1991. During FY 1991, 151 grants were awarded to institutions of higher education or consortia of IHEs, the same number of grants awarded in FY 1990. In FY 1991, the vast majority of funds were awarded through the Institution-Wide program, with most of the remaining funds awarded through the Higher Education Consortia for Prevention and National College Student Organizational Network programs. From FY 1990 to FY 1991 there was a large decline in the number of new grants for the Dissemination of Successful Institution-Wide Projects program and an increase in the number of new grants for the Higher Education Consortia for Prevention and National College Student Organizational Network programs.

TABLE 1
DRUG PREVENTION PROGRAMS IN HIGHER EDUCATION AWARDS
FY 1987 through FY 1991

	FY 1987	FY 1988	FY 1989	FY 1990	FY 1991
Institution-Wide Program*					
Number of awards	92	95	110	105	101
Average award	$82,919	$97,369	$99,540	$114,210	$106,719
Length of award	2 years	2 years	2 years	2 years	2 years
The Special Focus Programs					
National College Student Organizational Network *					
Number of awards	--	2	4	1	4
Average award	--	$166,750	$189,222	$212,984	$161,052
Length of award	--	2 years	2 years	2 years	2 years
Approaches to Accountability in Prevention ***					
Number of awards	--	4	4	5	5
Average award	--	$14,897	$14,998	$14,889	$14,945
Length of award	--	9 months	9 months	9 months	9 months
Higher Education Consortia for Prevention *					
Number of Awards	--	--	59	26	38
Average Award	--	--	$30,040	$34,915	$34,483
Length of Award	--	--	2 years	2 years	2 years
The Analysis and Dissemination Programs					
Dissemination of Successful Institution-Wide Projects **					
Number of Awards	--	--	--	10	1
Average Award	--	--	--	$67,920	$81,385
Length of Award	--	--	--	2 years	2 years
Analysis of Institution-Wide Projects **					
Number of Awards	--	--	--	4	2
Average Award	--	--	--	$74,750	$71,078
Length of Award	--	--	--	2 years	2 years
	FY 1987	FY 1988	FY 1989	FY 1990	FY 1991
Total Number of Awards Made	92	101	177	151	151

Source III 1

* The "Average Award" shown for this program is the total for the full two years of the awards.

** The "Average Award" shown for this program is only for the first year; funds for the second year are not shown on table.

*** The "Average Award" shown is for the 9 month award period.

Program Administration

The Fund for the Improvement of Postsecondary Education (FIPSE) program staff is responsible for administering DPPHE. Each DPPHE application is reviewed by a team of 4 persons, and each team reviews and scores 20 applications. In FY 1991 there were 13 review teams.

The teams have representatives from a student's college environment. One team member is from student administration (such as a Dean of Students or Vice President of Student Affairs), one from student health (such as a Director of Student Health), one from student life, (such as a Director of Student Housing), and one is a parent who has been active in the parent anti-drug movement for at least five years and who currently has, or recently had, a child in college. These reviewers are selected from lists of persons recommended and submitted to DPPHE by the appropriate professional associations related to the specific role represented.

Outcomes

An evaluation of outcomes was required of all of the grantees as part of their final report. The FY 1990 and FY 1991 Analysis of the Institution-Wide Projects programs are designed to determine the success of the early FY 1987 and FY 1988 efforts. The first analysis report on outcomes of the FY 1987 and FY 1988 programs will not be available until November of 1992 (III.2).

Management Improvement Strategies

Recommendations from the program's grantees are analyzed twice each year by DPPHE staff to seek improvements in the ongoing programs and to design new programs to further DPPHE goals.

III. SOURCES OF INFORMATION

1. DPPHE program files.

2. Unpublished preliminary findings reported by DPPHE Program Office.

IV. PLANNED STUDIES

Final reports from the FY 1987 grantees were received by February 1990 and from the FY 1988 grantees by February 1991. Analyses of these final reports are currently underway. A survey of Institution of Higher Education prevention policies and programs was to be conducted in FY 1992. A follow-up to the 1986 Higher Education Survey, this effort will examine changes in policies and programs as a result of the implementation of the Drug-Free Schools and Campuses certification regulations.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Ronald Bucknam, (202) 708-5750

Program Studies : Elizabeth Eisner, (202) 401-0182

STUDENT LITERACY CORPS
(CFDA No. 84.204)

I. PROGRAM PROFILE

Legislation: Higher Education Act of 1965, Title I, Part D, P.L. 89-329, as amended, Omnibus Trade and Competitiveness Act of 1988, P.L. 100-418, (20 U.S.C. 1018-1018f) (expires September 30, 1992).

Purpose: To promote the establishment of projects operated by institutions of higher education in which undergraduates serve as unpaid tutors in community agencies that serve educationally or economically disadvantaged individuals. Students must receive academic credit for participating.

Funding History

Fiscal Year	Appropriation
1989	$4,940,000
1990	5,042,000
1991	5,367,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports literacy (Goal 5) by helping postsecondary institutions to involve their students as volunteer tutors.

Services

Participating institutions establish credit-bearing courses which combine undergraduate study with experience as tutors. Tutors are required to enroll in one or more such courses for credit, and must serve 60 hours per academic term.

In FY 1991, an average of $47,000 was provided to each of 58 institutions to operate the program for a two-year period.

Program Administration

Student Literacy Corps grants are for two years, are not renewable, and may not exceed $25,000 per year. Grants are made on a competitive basis to institutions that can demonstrate prior involvement in community service activities. Participating undergraduates must enroll in one or more courses for academic credit.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

The Office of Policy and Planning has begun a study that will provide an in-depth understanding of how the program is administered and operated, and the factors related to program success. The study will include surveys of participating institutions of higher education and tutors, a set of case studies, and a follow-up survey which will determine if programs have continued past the period of Federal funding. The final report is due in October 1993, with a follow-up report on project persistence in June 1984.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Darlene Collins, (202) 708-6128

Program Studies : Gregory Henschel, (202) 401-0182

NATIONAL SCIENCE SCHOLARS PROGRAM
(CFDA No. 84.242)

I. PROGRAM PROFILE

Legislation: Excellence in Mathematics, Science and Engineering Act of 1990, Title VI, Part A, P.L. 101-589, amended by P.L. 102-103 (20 U.S.C. 5381 et seq.) (expires September 30, 1992).

Purpose: To recognize student excellence and achievement in the physical, life, and computer sciences, mathematics, and engineering by providing scholarships to meritorious graduating high school students and General Education Development (GED) recipients to continue their studies at the postsecondary level.

Funding History

Fiscal Year	Appropriation
1991	$975,987

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The National Science Scholars Program (NSSP) addresses Goal 4, to make U.S. students the first in the world in science and mathematics achievement, by: (1) strengthening the leadership of the United States in the sciences, mathematics, and engineering; (2) attracting both men and women into these fields and encouraging them to pursue teaching careers in these areas to improve student mathematics and science skills and knowledge at the primary and secondary level; and (3) increasing the number of U.S. undergraduate students who complete degrees in mathematics, science, and engineering.

Population Targeting

To be eligible for a scholarship the applicant must: (1) be scheduled to graduate from a public or private secondary school or to obtain the equivalent of a certificate of graduation (as recognized by the State in which the student resides) during the school year in which the award is made; (2) have demonstrated outstanding academic achievement in secondary school in physical, life, or computer sciences, mathematics, or engineering; (3) have been accepted for enrollment at an institution of higher education as a full-time undergraduate student; and (4) have declared a major in either the physical, life, or computer sciences, mathematics, or engineering, or provide a written statement of the intent to do so, if it is the policy of the institution at which the student has been accepted for enrollment that a student does not declare a major until a later point in the student's course of study.

Each State submits nominations for at least four applicants from each congressional district ranked in order of priority, at least half of whom must be female. Initial scholarships are then awarded to two scholars from each congressional district, at least one of whom must be female. The scholarships are not based on financial need.

Services

Under the NSSP, the Secretary of Education is authorized to award up to $5,000 per year to National Science Scholars for undergraduate study of the physical, life, or computer sciences, mathematics, or engineering. Scholars may receive continuation scholarships for not more than three academic years of undergraduate study, except that, in the case of Scholars who enroll in undergraduate courses of study that require attendance for five years, Scholars may receive additional scholarships for not more than four academic years. All scholarships are equal except that no student can receive a scholarship in excess of the cost of attendance.

Scholars are also to be given priority consideration for federally financed summer employment in federally funded research and development centers. This employment must, to the maximum extent practicable, complement and reinforce the educational programs of Scholars.

The NSSP was funded for the first time in FY 1991 ($975,987). A total of 789 scholars received an average scholarship of $1,236 for study in the 1991-1992 academic year.

Program Administration

The NSSP is administered by the U.S. Department of Education which, in conjunction with the National Science Foundation, establishes specific criteria that: (1) States must follow to establish State nominating committees; (2) State nominating committees must use to evaluate eligible applicants and submit nominations to the Secretary of Education who accepts the nominations on the President's behalf; and (3) institutions of higher education must use to disburse funds to National Science Scholars and determine continuing eligibility for National Science Scholarships.

State nominating committees evaluate each nominee using the following five criteria: evidence of exceptional academic achievement at the secondary level; evidence of exceptional nonacademic accomplishment in extracurricular areas and in the physical, life, or computer sciences, mathematics, or engineering; letters of reference; applicant essay; and meeting the purpose of the program. Each criterion is given a score of from 0 (poor) to 5 (truly exceptional), with applicants ranked based on their total points.

Management Improvement Strategies

The Department of Education provides case-by-case assistance to States and institutions of higher education regarding various administrative aspects of the program and distributes appropriate guidance to all participating entities.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Fred Sellers, (202) 708-4607

Program Studies : Dan Goldenberg, (202) 401-0182

RONALD E. MCNAIR POST-BACCALAUREATE ACHIEVEMENT PROGRAM
(CFDA No. 84.217)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 4, Section 417A and D, P.L. 92-318, as amended, (20 U.S.C. 1070d, 1070d-1b) (expires September 30, 1992).

Purpose: To improve rates of access and retention in graduate programs by providing assistance to low-income, first-generation college students, or students from groups that are underrepresented in graduate education. Participants must be enrolled in an undergraduate or graduate degree program at an eligible institution of higher education.

Funding History

Fiscal Year	Allocation 1/
1989	$1,482,000
1990	3,000,000
1991	4,944,000

1/ The allocations represent the amount allocated administratively by the Department of Education from funds appropriated jointly for all six Special Programs for Disadvantaged Students: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-Baccalaureate Achievement Program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Ronald E. McNair Post-Baccalaureate Achievement program (McNair) is intended to increase the number of disadvantaged students who enroll and successfully complete a program of study at the doctoral level, thus increasing their knowledge and skills necessary to compete in a global economy (Goal 5).

Population Targeting

Program participation is limited to low-income, first-generation college students, or students from groups that are underrepresented in graduate education. In any given project, two-thirds of the participants must be both low-income and first-generation college students. Decisions about which groups are underrepresented in graduate education are made by grant recipients. Students may be undergraduate or graduate students.

Services

The 42 projects currently funded under the McNair program provide a range of support services that include but are not limited to: opportunities for research, tutorial services, academic counseling, seminars, assistance in obtaining student financial aid, and assistance in securing admission for enrollment in graduate programs. Students may also receive stipends not to exceed $2,400 a year if they have completed their sophomore year and are engaged in research.

	FY 1991
Number of new projects	14
Number of continuation projects	28
Average award	$117,711
Number of persons served	1,215
Average Federal cost per participant	$4,070

Program Administration

The McNair projects may only be sponsored by institutions of higher education. Competitions for funding are held every three years. Second- and third-year funding is based on approval of a non-competing continuation application.

Prior experience points will be earned by grant applicants that have conducted a McNair project within three prior years of the next competition, in FY 1992.

Management Improvement Strategies

The Department has proposed that the McNair and the Minority Participation in Graduate Education programs be consolidated.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: May Weaver (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT

TERRITORIAL TEACHER TRAINING ASSISTANCE PROGRAM (TTTAP) PROJECT GRANTS TO TERRITORIAL JURISDICTIONS
(CFDA No. 84.124)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965, as amended, Title Part E, Section 4502 (20 U.S.C. 3142) (expires September 30, 1993).

Purposes: To provide assistance for teacher training in schools in Guam, American Samoa, the Northern Mariana Islands, Palau, and the Virgin Islands. Grants are awarded to State education agencies (SEAs) in each territory.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$ 2,000,000	1986	1,913,000
1981	1,800,000	1987	2,000,000
1982	960,000	1988	1,915,000
1983	960,000	1989	1,976,000
1984	1,000,000	1990	1,762,000
1985	2,000,000	1991	1,769,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Improved teacher preparation contributes to the attainment of competency in subject matter and preparation for citizenship (Goal 3) and achievement in science and mathematics (Goal 4).

Services

During FY 1990, training activities continued to be focused on the needs of teachers lacking a bachelor's degree or full certification. Participating jurisdictions reported the following numbers of teachers who made progress toward or completed their degree or certification requirements during FY 1990:

Jurisdiction	Made Progress	Completed Requirements
American Samoa	212	30
Guam	196	43
Northern Marianas	349	24
Palau	339	0
Virgin Islands	104	24

The U.S. Virgin Islands (VI) are experiencing an influx of immigrants from the Spanish Caribbean, resulting in the need for the school system to hire and train bilingual teachers. Coupled with this influx, the VI are still recovering from the 1989 hurricane which devastated many of its schools. In the Pacific, Guam is also feeling the pressure of the influx of people from the Republic of the Marshall Islands and the Federated States of Micronesia. Accommodating these new arrivals has taxed the resources of the school system. Many of these new arrivals speak little English. The Northern Marianas' outer islands have been hit with a series of volcanic eruptions. This has disrupted the outer island teachers' participation in the TTTAP program.

Program Administration

Major improvements have been made in reporting requirements. Recordkeeping has improved. In the Pacific, this improvement resulted from technical assistance provided by the Pacific Regional Education Laboratory (PREL), formerly Center for the Advancement of Pacific Education, and site visits by the program officer to Guam and the Northern Marianas. PREL has developed a database system which has been adopted by the Pacific jurisdictions. This system will also be tested by the Virgin Islands to determine its adaptability to their needs.

Outcomes

TTTAP has had a positive impact on education in the territories (III.2). However, outside forces such as distance from the mainland, the influx of limited-English-speaking immigrants, the constant need to attract and keep teachers, and the lack of resources tend to keep the jurisdictions in a static position.

Management Improvement Strategies

In FY 1991, technical assistance was provided to the Pacific TTTAP by PREL as part of its mission as a regional laboratory for the Pacific. In some jurisdictions, the projects have been requested to change their focus from tuition grants to teacher training. The entities have been requested to limit time for pursuing a degree and limit use of TTTAP funds for certification in one content area. If these changes are implemented, substantial improvement is expected.

III. SOURCES OF INFORMATION

1. Program files.

2. Evaluation of the Territorial Teacher Training Assistance Program (Washington, DC: Research and Evaluation Associates, Inc., May 1989).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Joseph A. Wilkes, (202) 219-2186

Program Studies : Rob Barnes, (202) 401-0325

PUBLIC LIBRARY SERVICES--GRANTS TO STATE LIBRARY AGENCIES
(CFDA No. 84.034)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title I, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1994).

Purposes: To provide formula grants to the States to assist public libraries in establishing, expanding and improving library services. Funds may be used to provide library access for all persons who by reason of distance, residence, handicap, incarceration, or other disadvantage are unable to receive the benefits of public library services. These funds may assist public libraries: to combat illiteracy and establish model literacy centers; provide intergenerational programs matching older adult volunteers and children for after-school literacy and reading skills programs, which provide services to individuals with limited English-speaking proficiency and the elderly; provide mobile library services and programs to child-care providers or child-care centers; serve as community information referral centers; strengthen major urban resource library and metropolitan public libraries which serve as national or regional centers; and strengthen the capacity of State library administrative agencies to meet these library needs.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1957	$ 2,050,000	1984	$65,000,000
1960	7,500,000	1985	75,000,000 1/
1965	25,000,000	1986	75,000,000 1/
1970	29,750,000	1987	80,000,000 1/
1975	49,155,000	1988	78,986,000 1/
1980	62,500,000	1989	81,009,000 1/
1981	62,500,000	1990	82,505,000 1/
1982	60,000,000	1991	83,897,000 1/
1983	60,000,000		

1/ Under the Library Services and Construction Act, 1.5 percent of the amounts appropriated for Titles I, II, and III is used for grants to Indian tribes. Under Title IV, Section 5(d) 0.5 percent is used for grants to organizations serving and representing Hawaiian Natives (see Chapter 609 of this AER). (Amounts for the Title I set-asides are included here.)

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Over 300 projects have been funded under LSCA that directly support National Goals 1, 2, 5, and 6. The various projects include delivery of library services to daycare sites, family literacy programs, summer reading programs, a juvenile literacy center for disadvantaged children, and projects which emphasize drug abuse prevention.

Population Targeting

The program serves all of the community by offering a wide range of public library program designed for groups from preschool children to the elderly.

Services

The State Library Agencies provide support for approximately 1,900 public library service projects through subgrants to public libraries in 18 legislated service categories. Projects included Statewide summer reading programs; homework centers established to assist elementary and secondary school students after school hours; the use of technology to provide services for blind, disabled, and elderly persons; the development of cooperative collection development policies at the State or local level; literacy programs for adults and school dropouts; and activities for the elderly, including large-print books, library services to retirement homes, bookmobiles, and books-by-mail services.

Outcomes

Data from the FY 1990 State annual reports (III.1) indicate that 34 percent of the Title I funds were used to provide improved public library services; 18 percent to strengthen State library agencies in meeting the Title I purposes; 11 percent for strengthening major urban resource libraries and metropolitan public libraries; 8 percent to the handicapped; 7 percent specifically targeted to the disadvantaged; 5 percent for providing library services to areas without public libraries; 5 percent for LSCA administration for all titles; 4 percent for literacy programs; 1 percent to library efforts for limited-English-speaking persons; 3 percent for State institutional library services; 2 percent specifically for services to the elderly; and 2 percent for community information referral centers.

Management Improvement Strategies

In FY 1991, the Department continued to work with State Library Administrative Agencies to:

- Initiate efforts to improve evaluation of LSCA projects by holding a workshop for State Library Administrative Agency representatives.

- Plan for five regional technical assistance workshops in FY 1992 after the publication of the final rules and regulations.

- Foster more thorough long-range planning for Statewide public library development through reviews of the LSCA long-range plan and annual update documents.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Robert Klassen, (202) 219-1303

Program Studies : Barbara Vespucci, (202) 401-3630

INTERLIBRARY COOPERATION AND RESOURCE SHARING GRANTS TO STATE LIBRARY AGENCIES
(CFDA No. 84.035)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title III, (20 U.S.C. 351 et seq.) (expires September 30, 1994).

Purpose: To provide formula grants to the States to develop, establish, expand or operate local, State, regional and interstate cooperative library networks and to promote resource sharing activities among public, academic, school and special libraries.

Funds may be used to plan for and take other steps leading to the development and establishment of cooperative library networks; to promote resource sharing through coordination among all types of libraries; and to support Statewide preservation plans.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$ 375,000	1985	$18,000,000 1/
1970	2,281,000	1986	17,226,000 1/
1975	2,594,000	1987	18,000,000 1/
1980	5,000,000	1988	18,669,000 1/
1981	12,000,000	1989	19,102,000 1/
1982	11,520,000	1990	19,551,000 1/
1983	11,520,000	1991	19,908,000 1/
1984	15,000,000		

1/ Under the Library Services and Construction Act, 1.5 percent of the amounts appropriated for Titles I, II, and III is used for grants to Indian tribes. Under Title IV, Section 5(d) 0.5 percent is used for grants to Hawaiian Natives, (Library Services for Indian Tribes and Hawaiian Natives) (see Chapter 609 of this AER). (Amounts for the Title III set-asides are included here.)

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Interlibrary Cooperation and Resource Sharing Grants to State Library Agencies Program supports Goal 5 of achieving adult literacy and citizenship skills through activities such as networking and resource sharing to provide assistance to schools and communities.

Population Targeting

The program serves all of the community with resource sharing activities designed to connect users of al libraries with needed information resources.

Services

The State library agencies provide partial support for 480 regional, State and local cooperative library projects through subgrants to various governmental entities.

Historically, these funds supported interlibrary loan programs under which books and other materials not available at one library might be provided by other cooperating libraries in the region or State. While such interlibrary loan networks are still supported, the program largely supports a variety of new forms of information technology, such as Statewide computer bibliographic systems and access to Online Computer Library Center (OCLC) through regional service networks. States have also engaged the services of consultants in networking to assist them in developing both long-range and short-term programs for local and Statewide library automation and resource sharing. In addition, new methods of storing and disseminating bibliographic data and library materials, and of transmitting documents and information, were explored by a number of States.

Outcomes

Because of the apparent cost-sharing benefits of the projects funded under this program, 31 States now have specific legislation in State statutes to provide State aid to library systems.

Management Improvement Strategies

In FY 1991, the Department continued to work with State libraries to:

Initiate efforts to improve evaluation of LSCA projects by holding a workshop for State Library Administrative Agency representatives.

Plan for five regional technical assistance workshops in FY 1992 after the publication of the final rules and regulations.

- Encourage active interest in the benefits of networks for all types of libraries, particularly in small communities with inadequate collections; and

- Monitor the Statewide resource sharing plans to determine whether or not they address the following major areas: 1) providing bibliographic access to computerized data bases and other communication systems for information exchange; 2) developing delivery systems for exchanging materials among libraries; 3) projecting the computer and other technological needs for resource sharing; and 4) analyzing and evaluating the State's library resource sharing ideas.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Robert Klassen, (202) 219-1303

Program Studies : Barbara Vespucci, (202) 401-3630

LIBRARY LITERACY PROGRAM--DISCRETIONARY GRANTS TO STATE AND LOCAL PUBLIC LIBRARIES
(CFDA No. 84.167)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title VI, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1994).

Purpose: To provide grants to State and local public libraries for the support of adult literacy programs in public libraries.

Funding History

Fiscal Year	Appropriation
1986	$4,785,000
1987	5,000,000
1988	4,787,000
1989	4,730,000
1990	5,365,000
1991	8,163,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Library Literacy Program supports Goal 5 by sponsoring adult literacy projects and activities that are available at State and local libraries.

Performance Indicators

In FY 1988, approximately 100,000 adults received literacy training sponsored by their local libraries and funded by this program. In FY 1987 (the latest year for which data are available), this program trained 18,245 volunteers and 4,111 librarians (III.1.).

Population Targeting

The Library Literacy Program supports State and local public libraries in projects that serve the illiterate and functionally illiterate adult.

Services

Seventeen grants were awarded in FY 1991 to State public libraries to train librarians and volunteers through workshops and seminars, to initiate and coordinate Statewide literacy programs, and to provide technical assistance to librarians in their States to conduct literacy projects.

A total of 246 grants were awarded to local public libraries to acquire literacy materials, to recruit and train volunteers to be tutors, and to promote their literacy projects to reach the illiterate population in their communities.

Program Administration

In FY 1991, a total of 263 grants were awarded. An outside peer reviewer process is used to evaluate the grant applications. Grants are awarded competitively and last for one year.

Management Improvement Strategies

The program implemented various strategies for disseminating information about the Library Literacy program and disseminating information on the efforts of public libraries in the literacy field.

Four Statewide workshops were held (WV, LA, WI, VA) to encourage greater library participation in literacy programs; State libraries were given the opportunity to review applications for this program to assure that the applications were consistent with the State library's long-range literacy plans; and projects were featured in OERI publications--**OERI Bulletin**, the **Clipsheet**, and the Library Program's **Check this Out.**

Program staff continue to improve the management of information. This year, the program is participating in an analytic examination of its accountability systems. This has implications for new and/or expanded data collections. A request to revise the final report form to improve data collection on each project has been approved by OMB for FY 1992.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Blane Dessy, (202) 219-1315

Program Studies : Barbara Vespucci, (202) 401-3630

LIBRARY CAREER TRAINING--DISCRETIONARY GRANTS TO AND CONTRACTS WITH INSTITUTIONS OF HIGHER EDUCATION AND LIBRARY ORGANIZATIONS OR AGENCIES

(CFDA No. 84.036)

I. PROGRAM PROFILE

Legislation: The Higher Education Act (HEA) of 1965, Title II-B (Section 222), as amended, (20 U.S.C. 1021, 1022, and 1032) (expires September 30, 1992).

Purpose: To help institutions of higher education and library organizations and agencies train persons in the principles and practices of librarianship and information science, including new techniques of information transfer and communication technology.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$1,000,000	1985	$640,000
1970	4,000,000	1986	612,000
1975	2,000,000	1987	659,000
1980	667,000	1988	410,000
1981	667,000	1989	400,000
1982	640,000	1990	570,000
1983	640,000	1991	651,000
1984	640,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Students at the master's, post-master's, and doctoral levels prepare for careers as children and young adult services librarians in public libraries, school library media specialists, science reference librarians, and library educators. Children's services librarians help prepare preschool age children for school (Goal1); school library media specialists work closely with teachers in providing materials to support curriculum and improve student achievement (Goal 3); and adequate science reference services promote improved student achievement in science and mathematics (Goal 4).

Performance Indicators

Higher education institutions used funds to support 24 fellowships in library and information science at the doctoral level, 3 at the post-master's level, and 23 at the master's level.

Population Targeting

Fellowships were targeted for: (1) persons who need training in areas of library specialization where shortages exist, such as school library media, children's and young adult services, science reference, and cataloging; and (2) persons who want to become library educators.

Services

Twenty-seven FY 1991 grants were made to 21 higher education institutions to support 50 fellowships for post-baccalaureate degrees in library and information science. Training emphasis at the doctoral level included specialization in library education, library service to children and young adults, research methodologies, and communication technology; at the post-master's level, advanced training was pursued in science reference; and at the master's level, training was received for school library media specialists, chldren and young adult services personnel, cataloging and science reference librarians, and network managers.

Program Administration

The Department of Education continued its peer review initiative by utilizing experts in the field to review and evaluate proposals. The 43 fellowship proposals received were reviewed by 15 persons across the United States.

Outcomes

Since the beginning of the Library Career Training program in 1966, fellowships for training in institutions of higher education have assisted 1,135 persons at the doctoral level, 253 persons at the post-master's level, 2,852 persons at the master's level, 16 at the bachelor level and 53 at the associate level. During this same period, 85 institutes for training and retraining of librarians were also funded under this program.

Management Improvement Strategies

The Secretary of Education selected several areas from the program's established priorities for which applications for fellowships would be accepted in FY 1992. This allowed concentration of funds on specialties where there are currently shortages of personnel. These areas are science reference librarians, children and young adult services librarians, school library media specialists, and library educators.

By selecting these priorities, the Secretary sought to relate the training in library and information science to one or more of the National Goals. For example, training in school library media and children's and young adult services will clearly include reading motivation, curriculum support, and assistance to parents in learning more about the world of children. The doctoral program will focus on research in children and young adult library services, school library media, and adult literacy.

Training in planning and evaluation for State librarians is being planned at the interagency level.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Ray Fry, (202) 219-1315

Program Studies : Barbara Vespucci, (202) 401-3630

LIBRARY RESEARCH AND DEMONSTRATIONS--DISCRETIONARY GRANTS TO AND CONTRACTS WITH INSTITUTIONS OF HIGHER EDUCATION AND OTHER ELIGIBLE AGENCIES, INSTITUTIONS, AND ORGANIZATIONS

(CFDA No. 84.039)

I. PROGRAM PROFILE

Legislation: The Higher Education Act (HEA) of 1965, Title II-B, Section 223, (20 U.S.C. 1021, 1022, and 1033) (expires September 30, 1992).

Purpose: To make grants to and contracts with institutions of higher education and other public and private agencies, institutions, and organizations for research or demonstration projects related to the improvement of libraries, training of librarians, and dissemination of information derived from such projects.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$3,550,000	1985	$360,000
1970	2,171,000	1986	345,000
1975	1,000,000	1987	341,000
1980	333,000	1988	308,000
1981	250,000	1989	309,000
1982	240,000	1990	285,000
1983	240,000	1991	325,000
1984	240,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Two of the four studies funded by FY 1991 grants address Goal 5 on adult literacy.

Population Targeting

The Library Research and Demonstration Program is designed to support institutions of higher education or public or private agencies, institutions, or organizations in projects related to the improvement of all types of libraries.

Services

The four new projects funded by FY 1991 grants included: (1) **Assessing Information on the Internet: Toward Providing Library Services for Computer-Mediated Communication**: The Online Computer Library Center (Dublin, OH) is investigating the nature of electronic information available on the Internet and the problems associated with providing systematic access; (2) **The Characteristics of Effective Literacy Programs: A Field Study**: RMC Research Corporation proposes to conduct an in-depth study to examine the characteristics of effective library literacy programs. The information and knowledge gained from on-site study of the library literacy programs will be disseminated to policy makers and practitioners through a variety of channels. A potential outcome of the project would be the inclusion of one or more library literacy programs in the National Diffusion Network; (3) **Assessment of the Public Library's Missions in Society**: The University of Minnesota Center for Survey Research and the Carlson School of Management propose to design and execute a national survey of households in the United States in order to assess the public's opinions concerning the missions of the public library in society and the public's willingness to support public financing for library services; and 4) **Environment and Organizational Factors Associated with the Development of Family Literacy Programs in U.S. Public Libraries**: The University of Wisconsin is assessing the status of family literacy programs in public libraries as well as identifying characteristics of these programs.

In addition to the four projects cited, above the Department began to test the feasibility of developing an electronic information and communication service for literacy providers by studying their needs and the kinds of electronic equipment to which they have access. This study will also determine what types of systems are currently in place in the literacy field, and which literacy providers are most likely to use an electronic information and communication system.

Program Administration

In FY 1991, four new projects from among 43 proposals received grant awards. Outside peer reviewers reviewed and evaluated applications. Grants awards are made competitively and last for one year.

Outcomes

The four projects supported by grant awards will publish the results of their studies. In addition, a potential outcome of the project "The Characteristics of Effective Literacy Programs: A Field Study" would be the inclusion of one or more library literacy programs in the National Diffusion Network.

Management Improvement Strategies

For the FY 1992 Library Research and Demonstration program, the Department will concentrate on improving the application review process, including the recruitment of researchers in the education and library fields and more stringent monitoring of projects.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operation	:	Ray Fry, (202) 219-1315
Program Studies	:	Barbara Vespucci, (202) 401-3630

STRENGTHENING RESEARCH LIBRARY RESOURCES--DISCRETIONARY GRANTS TO MAJOR RESEARCH LIBRARIES
(CFDA No. 84.091)

I. PROGRAM PROFILE

Legislation: The Higher Education Act (HEA) of 1965, Title II-C, P.L. 89-329, as amended (20 U.S.C. 1021, 1022, 1041, and 1042) (expires September 30, 1992).

Purpose: To promote high-quality research and education throughout the United States by providing grants to help major research libraries maintain and strengthen their collections, and to make their holdings available to other libraries and individual researchers and scholars outside their primary clientele.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1978	$5,000,000	1986	$5,742,000
1980	6,000,000	1987	6,000,000
1981	6,000,000	1988	5,744,000
1982	5,760,000	1989	5,675,000
1983	6,000,000	1990	5,738,000
1984	6,000,000	1991	5,855,000
1985	6,000,000		

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

Networks and resource sharing activities supported by this program indirectly further all six of the National Goals by providing assistance to libraries to promote high-quality research and education.

Population Targeting

This program targets and benefits scholars and users of research collections by assisting institutions with major research libraries to acquire rare and unique materials; to preserve fragile and deteriorating materials not generally available elsewhere; and to provide access to collections by converting bibliographic information into machine-readable form and entering the records into national data bases.

Services

Thirty-one grantees chose bibliographic control as one area of project activity, adding new entries to national data bases, and making additional research materials accessible to users.

Sixteen grantees used Title II-C funds for advanced preservation techniques to make rare and unique materials more accessible.

Six projects used funds to acquire rare and unique research materials to fill in gaps and strengthen existing collections.

Five institutions promoted cooperative activities by administering joint projects involving additional institutions.

In support of the Quincentennial celebration in 1992 of Columbus' first voyage to the New World, 14 institutions are attempting to bring their collections of Latin American materials under bibliographic control.

Program Administration

In FY 1991, 36 grants were made: 30 were awarded competitively, 6 were non-competing continuation awards. Grants are awarded for one year; however, some multi-year projects are eligible for non-competing continuation awards (some go as long as three years beyond the year of the original award). All awards, except for awards to continue prior year grantees, are selected following an annual peer review.

Management Improvement Strategies

Continued efforts were made to improve technical assistance to grantees and applicants. Fiscal and program data have been prepared and published annually as a part of the program brochure--Abstracts of Funded Projects--which has been refined and widely disseminated.

In addition, the program received clearance from OMB to utilize a detailed Final Performance Report form to facilitate gathering essential program impact and performance data. This new report form provides the information for the newly established II-C program database. Due to these two improvements, the program has begun to gather the data needed to analyze the impact of the program and to further disseminate information about the results of II-C projects.

III. SOURCES OF INFORMATION

1. Program files.

2. Abstracts of Funded Projects, published annually by the Office of Library Programs, U.S. Department of Education.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Louise Sutherland, (202) 219-1315

Program Studies : Sandra Furey, (202) 401-3630

PUBLIC LIBRARY CONSTRUCTION--GRANTS TO STATE LIBRARY AGENCIES

(CFDA No. 84.154)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title II, (20 U.S.C. 351 et seq.) (expires September 30, 1994).

Purpose: To provide formula grants to the States to assist public libraries in the construction, acquisition, remodeling and alteration of existing buildings, and to support other technology enhancements.

Funds may be used for:

- the construction of new library buildings;
- acquisition, expansion, remodeling and alteration of existing buildings;
- purchase, lease and installation of equipment for new or existing buildings;
- remodeling to ensure safe working environments and to conserve energy;
- meeting handicapped barrier standards;
- purchasing historic buildings for conversion to public libraries; and
- purchasing, leasing and installing equipment for use in public libraries.

Further, States and localities are required to match the Federal funds for each construction project on at least a one-to-one basis.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$30,000,000	1984	$0
1970	7,807,250	1985	25,000,000 2/3/
1975	0	1986	21,533,000 2/3/
1980	0	1987	22,500,000 2/3/
1981	0	1988	22,595,000 2/3/
1982	0	1989	22,324,000 2/3/
1983	50,000,000 1/2/	1990	18,900,000 2/3
1984	0	1991	19,218,000 2/3/

1/ The Emergency Jobs Act, P.L. 98-8, appropriated $50 million in FY 1983 for public library construction to be administered under the authority of the Library Services and Construction Act, Title II.

2/ There is no time limit for the expenditure of these funds.

3/ Under the Library Services and Construction Act, 1.5 percent of the amounts appropriated for Titles I, II, and III is used for grants to Indian tribes. Under Title IV, Section 5(d), 0.5 percent is used for grants to Hawaiian Natives, (Library Services for Indian Tribes and Hawaiian Natives, see Chapter 609 of this AER). (Amounts for the Title III set-asides are included here.)

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program supports Goal 5 by ensuring that all community members have access to their public library.

Services

Recent State library annual reports (III.1.) show that the Title II funds were expended at the local level to:

o Remodel primarily to conserve energy, to improve access for the handicapped, and to accommodate the use of new technology	63%
o Build additions, and pay for acquisition costs, land purchases, and architectural fees	27%
o Construct new buildings	10%

The Federal project funds were matched by State and local sources at a level of 3.6 to 1 in FY 1989. The same level of match in FY 1990 and FY 1991 is anticipated.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Robert Klassen, (202) 219-1303

Program Studies : Barbara Vespucci, (202) 401-3630

LIBRARY SERVICES FOR INDIAN TRIBES AND HAWAIIAN NATIVES--BASIC AND SPECIAL PROJECTS DISCRETIONARY GRANTS
(CFDA No. 84.163)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title IV, P.L. 101-254, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1994).

Purpose: (1) To promote the extension of public library services to Hawaiian Natives and federally recognized Indian tribes; (2) to encourage the establishment and expansion of tribal library programs; and (3) to improve the administration and implementation of library services for program recipients by providing funds to establish new programs and to support ongoing ones.

Funding History

Fiscal Year	Appropriation 1/
1985	$2,360,000
1986	2,211,000
1987	2,410,000
1988	2,405,000
1989	2,449,000
1990	2,419,000
1991	2,460,490

1/ Under the Library Services and Construction Act, 1.5 percent of the appropriations for Titles I, II, and III is set aside for Indian tribes, and 0.5 percent is set aside for Hawaiian Natives. For FY 1991, Indian tribes received $1,845,340 (75 percent of the 1991 total above) and Hawaiian Natives received $615,110 (25 percent). Set-aside amounts are also included in the amounts listed for Titles I, II, and III (Chapters 602, 603, and 608).

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The role of funded projects is to expand and promote tribal library programs. As such, this program supports Goal 3, student achievement and citizenship, and Goal 5, adult literacy and lifelong learning.

Population Targeting

The Library Services for Indian Tribes and Hawaiian Natives Program provides support for public library services for members of Indian Tribes and Hawaiian Natives.

Program Administration

Basic grants are not competitive. Federally recognized Indian Tribes and Hawaiian Native organizations recognized by the Governor of Hawaii which apply are eligible for awards. Special projects grants to Indian Tribes are competitive and are available only to Indian Tribes that have first received a basic grant. Hawaiian Natives request all available funds under the basic grant program and do not participate in the special projects program. Both basic and special projects grants last for one year. In FY 1991, of the 186 basic grant applications received, 181 were funded; of the 47 Special Projects applications received, 15 were funded.

Services

For Indian tribes, the 181 basic grants and the 15 special projects grants support the following public library services: training or salaries of tribal library personnel; purchase of library materials; promotion of increased awareness of tribal library needs; support of special library services; and construction, renovation, or remodeling of library buildings.

Basic Grants

The majority of the 180 basic grant awards benefiting 183 Indian Tribes and Alaskan villages are being used to purchase library materials and to supplement the salaries of tribal library personnel. One basic grant of $615,110 was made to the Hawaiian Native organization named by the Governor of Hawaii. This single grant serves the needs of Hawaiian Natives by supporting projects that improve development of outreach programs, increase access, enhance evaluation, and provide employment training for Hawaiian Natives in library and information services.

Special Projects Grants

Five of 15 Indian tribes received special projects grants to build or renovate their library facilities. The remaining special projects grants pay for salaries and training of tribal members as library personnel, and strengthen their tribal collections by purchasing selected library materials and installing library computer systems.

Management Improvement Strategies

Plans to improve program administration include increasing the number of qualified potential field readers, disseminating program achievements, and monitoring projects.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Louise Sutherland, (202) 219-2296

Program Studies : Sandra Furey, (202) 401-3630

COLLEGE LIBRARY TECHNOLOGY AND COOPERATION GRANTS
(CFDA No. 84.197)

I. PROGRAM PROFILE

Legislation: The Higher Education Act of 1965, Title II-D, P.L. 89-329, as amended (20 U.S.C. 1021, 1022, and 1047)(expires September 30, 1992).

Purpose: To encourage resource-sharing projects among the libraries of institutions of higher education through the use of technology and networking; to improve the library and information services provided to the libraries of institutions of higher education by public and nonprofit private organizations; and to conduct research or demonstration projects which meet special needs of libraries by using innovative technology to enhance library and information sciences.

Funding History

Fiscal Year	Appropriation
1988	$3,590,000
1989	3,651,000
1990	3,732,000
1991	3,904,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The role of projects funded through this program is to promote and expand resource sharing and networking activities. In doing this, libraries at institutions of higher education further Goal 5 of the National Goals by helping to ensure that individuals are afforded opportunities for lifelong learning and for achieving educational and citizenship skills.

Population Targeting

The College Library Technology and Cooperation Grants program benefits colleges, universities, and certain qualified nonacademic libraries by providing funds for library technology grants to support resource sharing and other networking activities. In addition to assisting in the acquisition of special equipment, grant funds may also be used for networking, membership fees, salaries, supplies, telecommunication costs, evaluation, dissemination, and other related activities.

Services

In FY 1991, the College Library Technology and Cooperation Grants Program awarded 28 competitive grants in four categories: combination, services to institutions, research and document, and networking.

In the combination grant category, seven awards were made in FY 1991. These grants are designed to establish and strengthen joint-use library facilities, resources, software, or equipment. These combination grants have allowed academic libraries to create shared online catalogs and acquisitions programs, to strengthen existing shared systems through reconversion of records, and to establish new levels of cooperation, either regionally or through the coordination of specialized subject collections.

In FY 1991, one award was made in the services to institutions category. This type of grant is designed to establish, develop, or expand programs or projects that improve the grantee's services to institutions of higher education. Funds have been awarded to nonacademic libraries to improve and expand access to materials through interlibrary loan to support the academic programs of the institutions they serve, and to train academic librarians in the use of bibliographic utilities to improve the quality of library services at institutions of higher education.

In FY 1991, seven awards were made in the research and demonstration category. These grants were designed to meet specialized national or regional needs in utilizing technology to enhance library and information sciences. Typically, funds have been awarded for research and demonstration in three major areas of study:

Computer-Assisted Instruction Projects. These projects develop methods to raise the level of computer competence among library users, to instruct users about alternate computerized information data bases, and to measure the impact of computer-assisted user instruction programs on the academic performance of the students.

Current Technology Impact Studies. These projects analyze and evaluate the effects of library technology currently in use. The projects also measure the variables involved in utilizing library technology, including cost factors, effects on users and staffs, and the feasibility of expanding the current system for different uses.

Advanced Systems Design. These projects propose development of advanced information gathering and analysis systems which will increase productivity of researchers and improve interlibrary loan functions for resource-sharing networks.

In FY 1991, 13 networking grants were made. These grants are designed to plan, develop, acquire, install, maintain, or replace the technological equipment and software necessary to participate in library resource-sharing networks.

The networking grants allow academic libraries that have not been able to allocate funds from their operating budgets to take advantage of technological advances in the library and information science field.

Program Administration

In FY 1991, 35 grants were made of which 28 were awarded competitively and 7 were non-competing continuation awards. Grants are for one year; but some multi-year projects are eligible for non-competing continuation awards. Except for continuation awards, all applications are evaluated by outside peer reviewers. No grant may be awarded for less than $15,000. Applicants must demonstrate that they will expend for the same purposes, from funds other than those received under this program, an amount not less than one-third of the total dollars received from the Federal government.

Management Improvement Strategies

At the end of the fourth year of the program, refinements and improvements continue to be made to the application review process, including the active recruitment of library technology experts to serve as evaluators of the proposals; the creation of a peer review data base enabling the program staff to identify specific areas of expertise; and the development of a program data base to assist in project data collection and analysis.

III. SOURCES OF INFORMATION

1. Program files.

2. OERI Announcement of FY 1991 Grants Awards (including project abstracts), published annually by the Office of Library Programs, U.S. Department of Education.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Neal Kaske, (202) 219-1315
Program Studies	:	Sandra Furey, (202) 401-3630

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
NATIONAL DIFFUSION NETWORK
(CFDA NO. 84.073)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965, Title I, Section 1562 (20 U.S.C. 2962) as amended by the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988 (P.L.100-297) (expires September 30, 1993).

Purpose: To promote and accelerate the systematic, rapid national dissemination and adoption by public and nonpublic educational institutions of effective education practices, products, programs, and processes developed by local school districts, colleges and universities, and other public or private nonprofit organizations, agencies, or institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$ 9,100,000	1985	$10,700,000
1975	8,400,000	1986	10,237,927
1980	10,000,000	1987	10,700,000
1981	8,750,000	1988	10,244,000
1982	8,800,000	1989	11,066,000
1983	10,000,000	1990	12,837,000
1984	10,000,000	1991	14,150,812

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The array of programs available through the National Diffusion Network addresses one or more of the national education goals. A large proportion of the programs concentrate on Goal 3, student achievement. A growing number focus on Goal 1, readiness to learn in school; Goal 2, high school completion; and Goal 4, mathematics and science achievement. There are also a few programs that address Goal 5, adult literacy, and others with a focus towards Goal 6, discipline and drug-free schools. The search for additional exemplary programs has been directed towards comprehensive programs that address the National Goals.

Performance Indicators

During the 1990-91 school year, 32,600 schools adopted NDN programs, 90,920 people were trained, and approximately 4.7 million students participated in programs (III.1).

Population Targeting

The National Diffusion Network (NDN) is designed to serve all schools in the Nation. NDN programs have been adopted by schools of every type--rural, urban, and suburban--and for many target populations, including students with disabilities, students who are economically disadvantaged, students with limited English proficiency, migrant students, and functionally illiterate adults (III.1).

Services

The NDN currently funds Developer Demonstrator and Dissemination Process projects in reading, writing, health, history and civics, math, the humanities, science, special education, gifted and talented education, adult literacy, and projects to improve teaching and the quality of instruction. Developer Demonstrator projects are exemplary education programs developed by local schools that provide information materials about the program and training materials to install the programs. Training and followup technical assistance are provided for education service providers seeking to adopt the programs. Dissemination Process projects are large-scale programs run by national organizations that provide instructional materials, services, and information about specific content areas, bodies of research, or fields of professional development. All projects disseminated by NDN have been evaluated locally and approved by the U.S. Department of Education's Program Effectiveness Panel. In addition, all States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, the Northern Mariana Islands, and Palau have a State Facilitator project that links the education programs included in the NDN with the local schools interested in adopting them. The Private School Facilitator project serves the Nation's private schools in the same way.

Program Administration

Grants for Developer Demonstrators, Dissemination Processes, and State Facilitators are awarded competitively and may last as long as four years, depending on performance and availability of funds. Contracts are also awarded competitively to (1) provide technical assistance to NDN grantees and to identify and assess promising practices; and (2) to support the Program Effectiveness Panel, which verifies the effectiveness of programs participating in the NDN (III.1).

Management Improvement Strategies

The National Diffusion Network is placing priority on dissemination funding for programs that directly address the National Education Goals, particularly the core subject areas of Goal 3. At the same time, State Facilitators are being encouraged to place greater emphasis on supporting systemic school improvement efforts rather than increasing the number of program adoptions. Working collaboratively, Developer-Demonstrators and State Facilitators are refocusing their energies on the quality of program installations, with greater attention to ongoing follow-up assistance after training.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Elizabeth Farquhar, (202) 219-2134

Program Studies : Audrey Pendleton, (202) 401-3630

DWIGHT D. EISENHOWER
MATHEMATICS AND SCIENCE EDUCATION NATIONAL PROGRAM
(CFDA No. 84.168)

I. PROGRAM PROFILE

Legislation: Dwight D. Eisenhower Mathematics and Science Education Act, Title II, Subpart I, Section 2012 of the Elementary and Secondary Education Act.

Purpose: This program provides support for projects designed to improve the quality of teaching and instruction in mathematics and science and to increase access to that instruction. The national program supports innovative projects of national significance directed at certain urgent priorities identified by the Department in mathematics and science education in the Nation's public and private elementary and secondary schools.

Funding History

Fiscal Year	Appropriation
1985	$ 9,900,000
1986	3,875,000
1987	7,200,000
1988	10,771,000
1989	8,892,000
1990	8,781,000
1991	11,711,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The program funds projects to improve elementary and secondary mathematics and science education, which is the focus of Goal 4 (improve mathematics and science achievement)and is one of the aspects of Goal 3 (improve student achievement in critical subjects).

Population Targeting

The program serves public and private elementary and secondary school students, teachers, and related education personnel, through grants to State and local education agencies, institutions of higher education, and public and private nonprofit organizations.

Services

The Eisenhower National Program provides support for projects designed to improve the quality of teaching and instruction in math and science in the Nation's schools and to increase access to that instruction. Under this program, the Department has supported demonstration and technical assistance projects directed at strengthening and expanding the impact of promising curriculum reform programs, such as the National Council of Teachers of Mathematics (NCTM) Standards, the National Science Teachers' Association (NSTA) Scope and Sequence Project, the American Association for the Advancement of Science (AAAS) Project 2061--Science for All Americans, and projects of the Mathematical Sciences Education Board (MSEB). The 64 projects currently supported include elementary education demonstration models, projects to integrate new technologies into math and science instruction, and demonstration projects to increase the access of historically underserved and underrepresented groups to math and science education. The majority of the projects involve collaboration between school districts and institutions of higher education, and many include other partners such as businesses and museums. A project administered by the National Academy of Sciences to develop standards for elementary and secondary school science and a number of cooperative efforts with the National Science Foundation are also supported by this program.

Program Administration

The Eisenhower National Program and the Eisenhower State Grant Program cosponsor an annual national dissemination and technical assistance conference in cooperation with the Eisenhower State Grant Program coordinators and a broad range of Federal agencies and education organizations.

A series of special dissemination initiatives in FY 1991 included workshops and materials on hands-on science, informal education, effective short-term inservice programs, and calculators in the classroom.

An annual program booklet, including project abstracts and a key contact directory, is developed and widely disseminated.

Outcomes

Discretionary program funds authorized under the antecedent Education for Economic Security Act Title II program supported a two-year national study by SRI International of both the earlier Title II program and the current Eisenhower State Grant Program. The study began in October 1988 and was completed in 1990. The final report was issued in February 1991 (III.2).

All projects directly funded under the Eisenhower National Program include evaluation components and are required to submit final performance reports, including evaluation findings.

Management Improvement Strategies

The program conducts three workshops annually, one in Washington, DC, and two in cooperation with major national associations in mathematics and science. All three include sessions on effective program management. A new monitoring plan is being implemented in this program year that will increase the frequency of telephone and field monitoring and improve the quality of information about programs and products and technical assistance given to projects. Plans are also underway to substantially improve the quality of reports received from funded programs.

III. SOURCES OF INFORMATION

1. Program files, program abstracts.

2. Knapp, M., et. al. The Eisenhower Mathematics and Science Education Program: An Enabling Resource for Reform. (Washington, DC: SRI International, Inc., 1991). Summary Report and Technical Report

3. Dwight D. Eisenhower Mathematics and Science National Program National Conference: 1989 and 1990 Project Abstracts (Washington, DC: OERI/FIRST, U.S. Department of Education, 1990).

4. Dwight D. Eisenhower Mathematics and Science Education Program, 1990 National Conference Report. (College Park, MD: Triangle Coalition for Science and Technology Education, 1991).

5. Dwight D. Eisenhower Mathematics and Science National Programs and Other FIRST Office Mathematics and Science Projects. (Washington, DC: OERI/FIRST, U.S. Department of Education, 1991).

6. Access Programs: Abstracts of Exemplary Programs in Mathematics and Science Directed at the Underserved and Underrepresented. (New Brunswick, NJ: Consortium for Educational Equity, 1991).

7. Dwight D. Eisenhower Mathematics and Science Education. A quarterly newsletter published by the Consortium for Educational Equity at Rutgers University, New Brunswick, NJ.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Allen Schmieder, (202) 219-1496
Rebecca Wilt, (202) 219-1496
Kathy Fuller, (202) 219-1496

Program Studies : Joanne Wiggins, (202) 401-1958

LEADERSHIP IN EDUCATIONAL ADMINISTRATION DEVELOPMENT
(CFDA No. 84.178)

I. PROGRAM PROFILE

Legislation: The Higher Education Act, P.L. 89-329, as amended, Title V, Part C, Subpart 2 (20 U.S.C. 1109a-1109d) (expires September 30, 1992).

Purpose: The Leadership in Educational Administration Development program (LEAD) provides funding for the establishment or operation of state training and technical assistance centers to upgrade the leadership skills of elementary and secondary school administrators.

Funding History

Fiscal Year	Appropriation
1986	$7,176,000
1987	7,177,000
1988	8,222,000
1989	4,306,000
1990	3,845,000
1991	3,831,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The LEAD program, through upgrading the leadership skills of school administrators, contributes to improved education services for elementary and secondary school students (Goals 2, 3, 4, and 6).

Population Targeting

LEAD-funded centers serve approximately 90,000 school administrators--including superintendents, principals, assistant principals, and other central office and building administrators--each year.

Services

Centers provide data collection and analysis; training programs, consultation, and technical assistance to school districts, schools, and administrators; and information dissemination. Data collection and analysis activities are designed to gather State-specific information on the training and technical assistance needs of administrators, so that the LEAD centers can plan their services accordingly. They include surveys of school boards, the State education agencies, and administrator organizations, as well as individual assessment instruments for administrators such as competency assessments. Topics covered include administrator turnover, demonstrating competencies, training needs, and certification requirements.

Training and technical assistance for inservice providers form the heart of LEAD-funded center activities. Offerings in leadership training, assessment and other diagnostic processes, and school improvement and restructuring are among the topics covered. LEAD centers also work with colleges and universities to reform their administrator preservice preparation programs.

In addition to shifting their emphasis from direct service delivery to long-term capacity building, LEAD-funded centers are making use of private sector expertise. Centers arrange for training slots in corporate executive development programs, adapt corporate programs to State needs, and hence develop partnerships between schools or districts and business to develop and implement jointly supported long-term education plans.

Many centers offer special conferences, training, and support networks for both minority and women educators. Scholarships and other forms of financial support make their participation possible.

Program Administration

Federal funds were initially awarded on a competitive basis to support one LEAD center in each State, the District of Columbia, and the Pacific and Caribbean Insular Areas with equal funding for each center. Grants were for an initial period of three years. Grantees were then given three-year extensions at a reduced level of Federal funding. The center in one State subsequently dropped out of the program. Each center is required by statute to provide matching funds in amounts equal to the Federal grant during the first three years, and may be awarded a three-year extension if the grantee agrees to maintain the program with Federal assistance reduced by one-half. Two grantees have withdrawn from the program and rejected additional funding due to inability to provide matching funds. Many grantees are consortia or collaborative associations involving two or more organizations. Among the organizations providing services are State departments of education (23), colleges and universities (19), administrator or education associations (9), nonprofit organizations (3), a local education agency (1), and an area service agency (1).

Outcomes

The LEAD centers are required by law to conduct and submit annual evaluations to the Department. One consistent finding across the evaluations is that project participants report generally high levels of satisfaction with services and indicate that they intend to apply new skills on the job. More recent evaluations of specific program elements note that trainees' on-the-job behavior is more effective.

Centers have developed new, research-based leadership training curricula, leadership diagnostic instruments, resource guides, and similar materials to support leadership training, which are available to LEAD centers nationwide. In addition, comprehensive, long-term programs have replaced the single-focus workshop offerings in many States. Finally, formal assessment centers have been introduced or expanded in several States coupled with complementary training programs to meet identified training needs. Centers have provided advanced training programs to equip administrators to implement State reform policies and promote systemic educational change in such areas as effective schooling, restructuring, and strategic planning. In many States, LEAD centers have promoted coalitions among educational organizations and associations, State agencies, and policymakers--promoting their involvement on a range of education-related issues.

LEAD centers also plan to expand their activities through additional resources. For example, Alaska and Maine LEAD centers competed for and received grants to operate Academies for School Leaders under the Secretary's Fund for Innovation in Education program. These grants will enable these centers to expand and continue the work they have conducted through LEAD.

According to program performance reports and evaluations, projects have helped reform preservice preparation programs, assisted minorities and women to enter and advance in the field of educational administration, and created collaborative relationships with the business sector to engage private sector resources in the improvement of school leadership.

III. SOURCES OF INFORMATION

Program files, grant applications, continuation applications and performance reports, and project evaluations.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: Adria White, (202) 219-2181
Program Studies	: Joanne Bogart, (202) 401-1958

STAR SCHOOLS PROGRAM
(CFDA No. 84.203)

I. PROGRAM PROFILE

Legislation: The Education for Economic Security Act, Title IX, as amended by Section 2302, Title IX of the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvements of 1988, P.L. 100-297, (20 U.S.C. 4081-4086) (expires September 30, 1993).

Purpose: To encourage improved instruction particularly in the areas of mathematics, science, foreign languages, and other subjects such as vocational education, through demonstration grants to telecommunications partnerships for the development and acquisition of telecommunications equipment and instructional programming.

Funding History

Fiscal Year	Appropriation
1988	$19,148,000
1989	14,399,000
1990	14,819,000
1991	14,416,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Star Schools Program provides access to telecommunications systems for children in urban, rural, and suburban locations to improve instruction in the areas of mathematics, science, foreign languages, and other subjects such as vocational education. Providing access to quality education programs for all students throughout the United States supports Goals 3 and 4 (improving academic competency with a particular focus on achievement in mathematics and science).

Performance Indicators

Project officers report the following:

- Approximately 8,200 students received high school credit in science, mathematics, or foreign language instruction through the program.

- Approximately 32,000 students participated in hands-on science experiments and 62,700 students participated in enrichment programs.

- Approximately 720 teachers in participating schools received college credit courses through the system and another 22,600 teachers participated in staff development seminars.

- In FY 1988, the Department funded four Star Schools partnerships to implement two-year demonstration grants. The grantees are continuing to provide programming for students, teachers and other educators although Federal funds have expired.

- With the awards in FY 1990-91, the Star Schools Program expanded to nearly 6,000 schools and 200,000 students in 49 States plus the District of Columbia and the Virgin Islands.

Population Targeting

The Star Schools Program supports eligible telecommunications partnerships organized on a Statewide or multi-State basis. Partnerships are composed of either an organization established to operate telecommunications networks to provide educational programming or three or more of the following types of organizations, one of which must be a local education agency or a State education agency, or State higher education agency: State education agencies, State higher education agencies, institutions of higher education, teacher training centers, local education agencies, public television stations, and other public or private telecommunications agencies.

In the first funding cycle (FYs 1988-1989), most of the students served were located in small rural schools located in the southern and central regions of the country. In FYs 1990-1991 funding cycle, enhanced services were provided to the northwest and northeast regions. In addition, two of the four projects focus on students in urban settings.

Services

The FYs 1988-1989 program operated in 45 States and in 2,962 schools. Equipment was placed in 1,539 schools. Current (1990-91) funding extends that number to nearly 6,000 schools and 200,000 students in 49 states plus the District of Columbia and the Virgin Islands.

Program Administration

Funds may be used to develop and acquire instructional programming, and to provide equipment for distance learning service. Not less than 50 percent of the funds awarded must be for services, equipment, or facilities for local education agencies eligible to receive Chapter 1 funds, and not less than 25 percent must be for instructional programming. The grantees must match 25 percent of the funds except in the case of demonstrated hardship. While the program requires at least 25 percent matching funds, a survey of current grantees shows that there has been, on average, a 40 percent match.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

An evaluation of the program is planned to begin in FY 1992 and be completed in FY 1993.

IV. CONTACTS FOR FURTHER INFORMATION

Program Operations : Frank B. Withrow, (202) 219-2200
Cheryl Garnette, (202) 219-2267

Program Studies : Elois M. Scott, (202) 401-1958

JACOB K. JAVITS GIFTED AND TALENTED STUDENTS EDUCATION PROGRAM
(CFDA No. 84.206)

I. PROGRAM PROFILE

Legislation: Part B of Title IV of the Elementary and Secondary Education Act of 1965, as amended by the Augustus F. Hawkins - Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297 (20 U.S.C. 3061-3068) (expires September 30, 1993).

Purpose: To support a coordinated program of research, demonstration projects, and personnel training to build schools' capability to identify and meet the special educational needs of gifted and talented students.

Funding History

Fiscal Year	Appropriation
1989	$7,904,000
1990	9,888,000
1991	9,732,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Javits Gifted and Talented program supports programs of training and instruction to improve the education of gifted and talented students across curricular areas (Goal 3), including achievement in math and science (Goal 4).

Population Targeting

Projects supported under this program either serve gifted and talented students directly, or increase the capability to do so. Gifted and talented students are defined as "children and youth who give evidence of high performance capability in areas such as intellectual, creative, artistic, or leadership capacity, or in specific academic fields, and who require services or activities not ordinarily provided by the school in order to fully develop such capabilities."

Priority is given to identifying students missed by traditional assessment methods (including children who are economically disadvantaged, limited-English-proficient, or have disabilities) and to education programs that include gifted and talented students from such groups.

Services

The program has both grant and contracting authority. Authorized activities include:

- preservice and inservice training of personnel involved in gifted and talented education;
- operation of model and/or exemplary programs to identify and educate gifted and talented students;
- provision of technical assistance and information dissemination; and
- support for State education agencies (SEAs) and institutions of higher education (IHEs) to assist public and private schools' operation of gifted and talented education programs.

In addition, there is a requirement to establish and support a research center for gifted and talented education using no more than 30 percent of the total appropriation. In FY 1990, the Department established that center with a first year grant of $1.5 million to a consortium led by the University of Connecticut and including the University of Georgia, the University of Virginia, and Yale University. In FY 1991, the Department provided a second year grant of $1.5 million to support the center's ongoing program of research, including:

- evaluation of current methods of identifying gifted students;
- examination of classroom practices and gifted and talented programs to determine their effectiveness in challenging students;
- study of new ways to measure the talents of students from historically underrepresented groups;
- evaluation of alternative ways of preparing teachers of gifted and talented students; and
- study of the progress of gifted students who are not served by special programs.

In FY 1991, 37 continuation grants were made and 4 grantees completed their work. Grant recipients included: 5 SEAs, 11 LEAs, 19 IHEs, and 2 private organizations.

Program Administration

The authorizing legislation calls for the program to be a "national focal point" for information regarding gifted and talented education. In FY 1991, the following activities were conducted:

- annual conference for grantees to provide opportunities for grant recipients to share information and learn from other grantees' experiences with operating demonstration projects, conducting research, providing technical assistance, and providing preservice and inservice training in gifted and talented education;

- four meetings with a steering group to advise the Department on a national report on gifted and talented education in the United States that is being prepared for publication in FY 1992;

- meeting with representatives of leadership groups in gifted and talented education to discuss the national report; and

- series of commissioned papers to be published as a companion volume to the national report; topics include analysis of the success of alternative program models in classroom use, examination of current State policies for gifted and talented education, cross-national comparisons of U.S. and Asian strategies and programs for high-ability learners, and analysis of international test data.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

An assessment of successful practices among Javits grantees is scheduled to begin in FY 1992.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Pat O'Connell Ross, (202) 219-2187

Program Studies : Stephanie Stullich, (202) 401-1958

FUND FOR THE IMPROVEMENT AND REFORM OF SCHOOLS AND TEACHING
(FIRST)
FAMILY-SCHOOL PARTNERSHIPS
(CFDA No. 84.212)
SCHOOLS AND TEACHERS PROGRAMS
(CFDA No. 84.211)

I. PROGRAM PROFILE

Legislation: Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, Title III, Part B (20 USC 4801-4843) (expires September 30, 1993).

Purpose: To improve the educational opportunities for and the performance of elementary and secondary school students and teachers; and to encourage local education agencies to increase the involvement of families in the improvement of the educational achievement of their children.

Funding History

Fiscal Year	Appropriation 1/
1989	$5,928,000
1990	8,358,000
1991	8,894,882

1/ Breakdown of appropriations is as follows:

	FY 1989	FY 1990	FY 1991
Family-School Partnership Programs (CFDA No. 84.212A)	$1,976,000	$4,443,000	$3,610,952
Schools and Teachers: School-Level Program (CFDA No. 84.211B)	1,526,899	2,090,000	2,445,809
Other Schools and Teachers Program (CFDA No.84.211A)	2,275,101	1,675,000	2,688,123
Dissemination and Reporting	150,000	150,000	149,998

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

FIRST projects increase the involvement of families in the education of their children, thus increasing children's readiness for school (Goal 1), the likelihood of their graduating from school (Goal 2), and their school achievement (Goals 3 and 4). Projects to reform schooling also contribute to Goals 2, 3, and 4.

Population Targeting

The program serves elementary and secondary school students and their families, teachers, and related personnel.

Services

The FY 1991 Family-School Partnerships program continued to focus on at-risk students and their families. The risk factors addressed include the effects of poverty, minority issues, limited English proficiency, and handicapping condition. No new projects were awarded in 1991. Among the 28 continuation projects supported in school year 1991-92 are the following examples:

- A three-year project to train parents in how to enhance their effectiveness in community and school councils. Areas of training include policy, planning, conflict resolution, constituency representation, group interaction, budget fundamentals, school operations, and community resources.
- A three-year project offering a Saturday drop-in program, follow-up home visits for at-risk families, English as a Second Language and General Educational Development (GED) classes for parents, training for grandmothers who are the primary caretakers of the children, and a school orientation series for parents.

Under the FY 1991 School-Level Program, 26 projects received continuation funding. Among these continuation projects are the following:

- A two-year project to increase opportunities for at-risk students in the "world of work." A key element will be the creation of a Center for Student Business Services, operated by students for students and consisting of a limited-use branch bank, a campus store, a consignment shop, a yogurt concession, a ticketron booth, and other small businesses.
- A three-year project to provide a college preparation and mentoring program for bilingual students who exhibit an interest in teaching as a career. It will establish a support system by pairing the identified bilingual high school students with fifth-year

bilingual secondary teacher-credential candidates who will tutor and mentor the students from their sophomore through senior years.

In addition, eight new projects were awarded. These included the following:

- A one-year project in Alaska that is a prevention and early intervention program for primary age, low-achieving students from families that do not qualify for other social services. The project uses a team approach which links family, school, and community together to address the academic and social needs of individual children who are at risk of school failure.

- A three-year project on Iroquois High School in Louisville, Kentucky, that will restructure the school's schedule in order to provide smaller classes and to promote classroom activities which focus on individual learning and substantive change in teaching methods. Expected outcomes include: 70 teachers will implement the MacroClass Program; 1,120 students, with particular attention to 502 identified as at-risk, will have increased success in school; more students will graduate; and the project will develop a model replicable in other schools.

Under the FY 1991 Schools and Teachers Program, 13 continuation and 7 new projects were funded that gave absolute preference to projects that propose to conduct activities refocusing priorities and reallocating existing human and financial resources to serve children. Among the new projects are:

- A three-year project in Detroit that asserts that a parent is not only part of the educational team affecting a child, but that a parent is the child's first and most important teacher. The project focuses not only on the direct education of children, but also on the skill development of parents so that learning effectiveness is maximized. The result is that the education process at the school is looked on as not just one teacher working with 30 students, but rather 30 to 60 parents, the teacher, and the children working together.

- A three-year project in the District of Columbia that is a collaborative effort of education, community service, and mental health professionals which aspires to benefit students with below-average academic performance and to lead to increased access for all students to a high-quality education. The project will work with teachers, students, parents, and community members of six schools in which the student immigrant population is close to 10,000, a 72 percent increase in the last five years.

Management Improvement Strategies

6

The FIRST Program conducts a workshop for project directors annually and an independent contractor conducts regional workshops in response to requests for technical assistance. A plan is in place for the contractor to provide technical assistance to assist grantees in evaluating and measuring the impact of funded projects. A FIRST Program monitoring plan is in place to increase the frequency of telephone and on-site monitoring that will improve the effectiveness of technical assistance, the quality of information about programs, and knowledge about products. A concerted effort is being made to improve the quality and relevance of reports received from funded programs.

III. SOURCES OF INFORMATION

1. Program files.
2. Abstracts of FY 1991 funded projects.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Bryan Gary, (202) 219-1496

Program Studies : Joanne Wiggins, (202) 401-1958

SECRETARY'S FUND FOR INNOVATION IN EDUCATION
(CFDA No. 84.215A-D)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965, as amended, Title IV, Part F (20 U.S.C. 3151-3157) (expires September 30, 1993).

Funding History

Fiscal Year	Appropriation
1989	$14,697,000 1/
1990	18,939,000
1991	27,736,634

1/ Includes $4,535,000 in unobligated balances reappropriated from 1985 and 1986 appropriations for the Excellence in Education program.

Purpose: The Secretary's Fund for Innovation in Education supports programs and projects that show promise in identifying and disseminating innovative educational approaches, including projects in educational technology, computer-based instruction, comprehensive school health education, and alcohol abuse education. Support is offered either directly or through grants or contracts with State and local education agencies, institutions of higher education, and other public and private agencies, organizations, and institutions.

Program Components: Discretionary grants are awarded to eligible recipients to develop and conduct projects in the following areas:

- Innovation in Education Program. This program funds projects that show promise in identifying and disseminating innovative educational approaches. Activities may be carried out through grants or contracts.

- Educational Technology Program. This program funds projects to develop television, radio, telecommunications, and video-based programs for use in elementary and secondary education.

- Computer-Based Instruction Program. This program funds projects to expand and strengthen computer-based education in public and private elementary and secondary schools. Activities may include inservice teacher and administrator training, the expansion of computer hardware and complementary resources, and other programs designed to improve the extent and quality of computer-based education.

- Comprehensive School Health Education Program. This program funds projects to improve comprehensive health education for elementary and secondary students.

- Innovative Alcohol Abuse Education Program. This program supports the development of materials and the training of educators in the use of these materials for students in grades 5 to 8 who are children of alcoholics.

FY 1989, 1990, and 1991 Funds

Program	1989	1990	1991
Innovation in Education	$5,793,000	$6,842,000	$16,662,000
Educational Technology	1,000,000	1,234,000	665,000
Computer-Based Instruction	4,940,000	4,938,000	3,874,000
Comprehensive School Health Education	2,964,000	3,950,000	4,561,000
Innovative Alcohol Abuse Education	---	1,975,000	1,975,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

The Fund for Innovation in Education program supports projects that address student achievement (Goal 3) and student safety and health (Goal 6).

Population Targeting

Projects funded by the program serve preschool, elementary, and secondary school students, teachers, and related education personnel.

Services

- Innovation in Education Program.

  In FY 1991, two competitions were held under the Innovation in Education Program: the Innovation in Education General Competition and the Academies for School Leaders and Teachers Competitions. Through the General Competition, $3.5 million was awarded to support 13 projects that offer innovative educational approaches for improving preschool, elementary, and secondary education. Priorities for this competition included improving the performance and employment opportunities of underachieving students, improving and expanding foreign language instruction at the elementary and secondary levels, and restructuring elementary and secondary schools. The Academies for Teachers and Academies for School Leaders awarded $7.6 million to support 18 State and regional academies in training public and private school teachers in the five core academic subjects, and to provide programs for public and private school leaders to enhance their effectiveness. Applications under this competition responded to absolute priorities.

Approximately $5.5 million was used to continue projects begun in FYs 1989 and 1990, including the Minnesota Choice Evaluation and other Secretarial initiatives.

- Educational Technology Program.

  Funding was continued for three technology projects that were started with FY 1990 funds at a cost of $0.7 million. They include projects that demonstrate innovative uses of new technologies in educational television, closed circuit television systems, cable television, radio broadcasts, and video and audio discs and tapes to strengthen the school curriculum, particularly in the critical subjects of mathematics, science, reading, and foreign languages.

- Computer-Based Instruction Program.

  Twenty-seven grants received continuation funding at approximately $3.9 million for projects begun in FYs 1989 and 1990. Among them are projects that demonstrate model strategies for increasing computer-based instruction at the school site to help students meet more rigorous academic standards.

- Comprehensive School Health Education Program.

  The FY 1991 competition awarded grants totalling nearly $1 million to 10 new projects exploring ways to provide comprehensive school health education to elementary and secondary school students. An additional $3.5 million was used to continue funding for 22 similar projects begun in FYs 1989 and 1990.

- Innovative Alcohol Abuse Education Program.

  In FY 1991, five grants were awarded to train educators in the use of alcohol abuse materials relating to grades 5 to 8. This training is being done on a regional basis.

Program Administration

The Secretary's Fund for Innovation in Education is operated primarily as a grant program. Projects are administered by State education agencies, local education agencies, institutions of higher education, and other public and private agencies or institutions.

Outcomes

All projects include evaluation components and are required to submit final performance reports, including evaluation funding.

A summary of the Comprehensive School Health Education Program's activities and accomplishments will be prepared and disseminated at the end of each program year.

Management Improvement Initiatives

Monographs containing abstracts of FY 1989 Computer-Based Education projects and FYs 1989 and 1990 Innovation in Education and Comprehensive School Health Education projects have been disseminated nationally by the Department. Preparation of abstracts describing FY 1990 projects supported by the Department's Educational Technology program is currently underway. Additional Departmental support to grantees includes the preparation of a Key Contact Directory, and technical assistance and evaluation workshops. Efforts include, (1) increasing the number of qualified potential field readers, (2) publicizing and disseminating monographs of earlier funded projects, (3) conducting technical assistance workshops with grantees to strengthen the evaluation component of each project, (4) increasing the dissemination of program achievements, and (5) improving the quality and frequency of monitoring.

III. SOURCES OF INFORMATION

1. Secretary's Fund for Innovation in Education: Innovation in Education Program, 1989, 1990 and 1991 Awards for Education Reform--Project Summaries (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office, 1990).

2. Program files.

3. Secretary' Fund for Innovation in Education Program Computer Based Instruction Program, Fiscal Year 1989 and 1990 Grants (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office, 1990).

4. Secretary's Fund for Innovation in Education: Technology Education Program, 1990 Awards--Project Summaries (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office, 1991).

5. Comprehensive School Health Education Program: Abstracts of the 1989, 1990, and 1991 Awards and Key Contact Directory (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office, 1990).

6. U.S. Department of Education Activities Related to School Health Education: Summary Report of 1989-90 Activities (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office, 1990).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	Shirley Steele, Seresa Simpson, (202) 219-1496--Innovation in Education Program
	Seresa Simpson, Michael Mitchener, (202) 219-1496--Technology Education Program
	Michael Mitchener, (202) 219-1496--Computer-Based Education Program
	Shirley Jackson, Joe Caliguro, (202) 219-1556--Comprehensive School Health Education Program
Program Studies :	Joanne Bogart, (202) 401-1958

EDUCATIONAL PARTNERSHIPS PROGRAM
(CFDA 84.228)

I. PROGRAM PROFILE

Legislation: Educational Partnerships Act of 1988, Title VI, Subtitle A, Chapter 5 of the Omnibus Trade and Competitiveness Act of 1988, P.L. 100-418 (20 U.S.C. 5031-5039) (expires September 30, 1993).

Purpose: To encourage the creation of alliances between public elementary and secondary schools or institutions of higher education and representatives of the private sector in order to work together on school improvement projects.

Funding History

Fiscal Year	Appropriation
1990	$ 3,703,000
1991	$ 4,233,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program addresses Goals 2, 3,4, and 5, by supporting projects that include parent training sessions, career awareness for secondary and postsecondary students, mentoring and tutoring activities, special programs for disadvantaged students who are gifted and talented, professional and staff development, projects that target high school completion and higher student achievement in science, math and other subject areas, and projects that encourage and attempt systemic change.

Population Targeting

Funds are awarded to eligible partnerships consisting of one or more local education agencies or institutions of higher education, or both, and one or more of the following: a business concern, a community-based organization, a museum, a library, an educational television or radio station, or an appropriate State agency. Funds may be used for a variety of activities in public elementary and secondary schools or in institutions of higher education.

Services

In FY 1991, 22 grants were awarded for a total of $3,929,034. Another $248,396 was awarded to evaluate these grants. The projects supported under this program represent a broad range of activities such as programs for gifted and talented disadvantaged students, mentoring and career awareness, Statewide projects, academic internship programs for students or teachers, and model cooperative educational programs.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

The Southwest Regional Laboratory is continuing a study of projects funded under this program to determine the impact the activities have on elementary and secondary schools and institutions of higher education that participate in this program; the extent to which activities assisted under this program have improved or expanded the nature of support for elementary and secondary education; and which activities show promise for expansion or adaptation to other settings. Also to be studied is the relationship between the matching funds (cash or in-kind support) requirement and project success and institutionalization. This study began in FY 1991 and will be completed in FY 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Susan Gruskin, (202) 219-2116

Program Studies : Barbara Vespucci, (202) 401-3630

MID-CAREER TEACHER TRAINING PROGRAM

I. PROGRAM PROFILE

Legislation: Higher Education Act of 1965, Title V, Part A, as amended by P.L. 99-498, (20 U.S.C. 1103-1103d.) (expires September 30, 1992).

Purpose: To encourage institutions of higher education to establish and maintain programs that will provide teacher training to individuals who are moving to a career in education from another occupation.

Funding History:

Fiscal Year	Appropriation
1990	$987,000
1991	$987,000

II. FY 1991 PROGRAM INFORMATION AND ANALYSIS

National Goals Addressed

This program includes projects that train early childhood education teachers and thus promotes Goal 1 which states that all children in America will start school ready to learn. Over half of the projects are focused on at-risk students, those most likely to drop out, and thus promotes Goal 2 which states that the high school graduation rate will increase to at least 90 percent. All of the projects in the program admit only individuals who have up-to-date knowledge of the subject area in which they plan to teach, thus promoting Goal 3 that states that American students will leave grades four, eight, and twelve having demonstrated competency in challenging subject matter including English, mathematics, science, history, and geography. Several of the projects focus primarily on training people to be math and science teachers at the secondary level; thus the program supports Goal 4 which states that U.S. students will be first in the world in science and mathematics achievement.

Population Targeting

Institutions of higher education with schools or departments of education may apply. Applicants must develop their mid-career teacher training programs with the cooperation and assistance of the local business community and under cooperative agreement with one or more State or local education agencies. The military, private foundations, social service agencies, and other community representatives are also frequently involved in projects. The projects provide teacher training and certification to individuals moving from other occupations into teaching careers. The projects have emphasized recruiting minorities into teaching, serving at-risk children, and meeting crucial shortages in teacher supply.

Services

The Education Department awarded 10 grants under this program in FY 1990 and 10 more in FY 1991. Each of the grants is for two years in length and each of the 10 U.S. Department of Education geographic regions is represented by at least one project.

These projects are intended to reduce financial and duplicative coursework barriers to teacher training and certification. The training offered in the grantees' projects ranges from 6 to 24 months and includes mentoring by expert teachers and on-the-job instruction leading to teacher certification and, in some cases, a master's degree. The projects differ in their curricula and subject matter areas, but emphasis is on teaching in geographic or subject areas in which shortages exist. These areas include inner-city schools, schools in remote rural areas, secondary math and science, early childhood education, special education, and the education of limited-English-proficient students.

Program Administration

Applications are approved by the Assistant Secretary for Educational Research and Improvement after review by external peer experts and Departmental staff. The criteria to be used in selecting projects are published in the Federal Register.

Management Improvement Strategies

Education Department staff provide technical assistance to the projects to help them develop final reports that will document the activities and outcomes of their programs. Data collected from these reports will be used by the individual projects to improve their programs and will be synthesized by Department of Education staff for policymakers and practitioners around the Nation.

III. SOURCES OF INFORMATION

Program files.

IV. PLANNED STUDIES

Approximately 500 teachers are to be certified through projects funded by this program; the majority will be certified in critical shortage areas. At the end of two years all grantees are required to write a final report which summarizes their program's operations, strengths, weaknesses, and outcomes. The first round of reports will be due in September of 1992. In addition, the Education Department and representatives of the 20 projects are designing an evaluation report which will synthesize project activities, outcomes, and "lessons learned" from all of the projects. The evaluation report for the 10 grants awarded in FY 1990 will be available in the spring of 1993, and the report for the 10 grants awarded in FY 1991 will be available in the spring of 1994.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Joseph Vaughan, (202) 219-2193

Program Studies : Elizabeth Eisner (202) 401-0182

APPENDIX

EVALUATION CONTRACTS ACTIVE IN OPBE DURING FISCAL YEAR 1991

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1988 1989	$1,536,201 $474,835	Study of Academic Instruction for the Children of Poverty This study examines curriculum and instruction provided by disadvantaged schools in Chapter 1 and the regular school program relative to more disadvantaged schools.	SRI International Washington, D.C. (LC 88 0540 01)	10-01-1988	01-31-1992	deKanter
1989 1990 1991	$287,000 $93,135 $93,105	A Descriptive Evaluation of the Transition Program for Refugee Children and the Emergency Immigrant Education Program This study describes the operations and utility of the programs through a mail survey and case studies.	COSMOS Corporation Washington, D.C. (LC 89 0220 01)	09-30-1989	04-30-1992	Moguel
1989 1990 1991	$330,388 $70,368 $70,369	A Review of Local Title VII Project Evaluation and Improvement Practices This study reviewed local Title VII project evaluation practices through a survey of project directors, project evaluators, and federal government evaluators and project monitors. The study found these different audiences often have conflicting uses and purposes for evaluations. The report recommends the elimination of several data elements required by law, and the inclusion of process evaluation methods as well as outcome evaluation.	Development Associates Arlington, Virginia (LC 89 0230 01)	09-30-1989	05-31-1992	Moguel
1991	$712,456	National Study of Chapter 2 This study examines the uses of Chapter 2 funds, the extent to which Chapter 2 leverages education improvement efforts, and the coordination of Chapter 2 activities with Federal and State initiatives. The study reports on Chapter 2-supported activity in all States and in a sample of school districts.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	05-01-1991	07-30-1993	Coates

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project		
				Start Date	End Date	Officer
1990	$952,643	Study of Effective Schools Programs Under Chapter 2 This study is examining Chapter 2 supported State and local activities to foster effective schools programs as defined in the legislation. In addition, the evaluation examines other State and local efforts in effective schooling and the extent to which Chapter 2 leverages these efforts. The study describes how States operationalize the effective schools criteria, the scope of these these activities, and their impact on district policies and practices.	SRI International Menlo Park, California (LC 90 0350 01)	09-17-1990	11-17-1993	Loy
1989 1990 1991	$354,000 $276,000 $210,000	Data Analysis This task order responds to quick turnaround requests for literature reviews, short-term studies, and data analysis involving the education of disadvantaged students.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	10-01-1990	09-30-1993	Coates
1989 1990 1991	$118,000 $249,681 $200,000	Education for the Disadvantaged This task order responds to quick turnaround requests for literature reviews, short-term studies, and data analysis involving the education of disadvantaged students.	Westat, Inc. Rockville, Maryland (LC 89 0150 01)	10-01-1989	09-30-1994	Coates
1991	$140,000	GEPA 406(a) Report on Distribution of State-administered Grants This task order supports annual data collection and reporting on State sub-allocations of Federal education grants.	Westat, Inc. Rockville, Maryland (LC 89 0150 01)	10-01-1990	10-01-1994	Stullich
1987 1988 1989 1990 1991	$150,000 $130,000 $132,000 $160,706 $161,000	Chapter 1 Program Data The task order maintains the Chapter 1 basic and Migrant program databases and prepares annual reports for both.	Westat, Inc. Rockville, Maryland (LC 89 0150 01)	10-01-1989	09-30-1994	Bogart

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1990	$102,677	Chapter 2 Support for Chapter 1 Program Improvement This task order examines how a few states are using Chapter 2 funds to support improved schooling for disadvantaged students.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	03-01-1990	04-30-1991	Loy
1989 1991	$701,065 $336,933	Chapter 1 Implementation Study This study examines State and local implementation of the new Chapter 1 program requirements under P.L. 100-297 through an LEA mail survey and site visits to SEAs, LEAs and schools. Information is collected on program improvement, schoolwide projects, evaluation procedures and parent involvement. The study also replicates the previous National Assessment of Chapter 1 School Survey to obtain information on: characteristics of Chapter 1 schools, Chapter 1 program configurations, characteristics of Chapter 1 teachers, and coordination of Chapter 1 with the regular school program.	Abt Associates, Inc. Cambridge, Massachusetts (LC 89 0380 01)	10-01-1989	12-31-1992	Hardcastle
1990	$1,328,658	Special Strategies for Educating Disadvantaged Children - Urban The identification of special strategies in schools with Chapter 1 programs or eligible for Chapter 1 programs accompanies the Chapter 1 Longitudinal Study Design Contract and the Chapter 1 Longitudinal Study Implementation Contract. Two contracts were awarded, this one focuses on urban sites. The purpose of these case studies is to provide additional information on appropriate strategies which support success for Chapter 1 children.	The Johns Hopkins University Baltimore, Maryland (LC 90 0100 01)	09-01-1990	09-30-1993	Scott

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1990	$1,346,670	Special Strategies for Educating Disadvantaged Children - Suburban/Rural The identification of special strategies in schools with Chapter 1 programs or eligible for Chapter 1 programs accompanies the Chapter 1 Longitudinal Study Design Contract and the Chapter 1 Longitudinal Study Implementation Contract. Two contracts were awarded, this one focuses on suburban and rural sites. The purpose of these case studies is to provide additional information on appropriate strategies which support success for Chapter 1 children.	The Johns Hopkins University Baltimore, Maryland (LC 90 0100 02)	09-01-1990	09-30-1993	Scott
1991	$590,909	Chapter 1 Resources in the Context of State and Local Resources for Education This study is examining how Chapter 1 and other federal funds are used at the district and school level, and whether these funds, and the services that they buy are well coordinated with available State and local funds so as to provide a comprehensive and efficient range of services to meet the needs of at-risk children.	American Institutes for Research Palo Alto, California (LC 91 0300 01)	09-01-1991	11-30-1992	Stullich
1988 1990	$765,000 $22,281	Retaining the Benefits of Early Childhood Education for Disadvantaged This 2-part study surveyed district and school practices designed to ease the transition between preschool and kindergarten and describing family education projects.	RMC Research Corporation Hampton, New Hampshire (LC 88 0890 01)	10-01-1988	06-30-1991	Farquhar
1988 1990 1991	$644,773 $39,354 $17,685	Profiles of Child Care Settings This study surveyed regulated and licensed family day care homes, day care centers, and preschools in a nationally representative sample of 144 U.S counties. Chapter 1 preschool and Head Start Centers are oversampled. Telephone interviews will elicit data on the nature and characteristics of extra-familial care.	Mathematica Policy Research, Inc. Princeton, New Jersey (LC 88 0900 01)	10-01-1988	05-31-1991	Farquhar

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Start Date	End Date	Project Officer
1989 1991	$650,000 $24,951	Assessing Before and After School Care This study, nationally representative in scope, is examining the extent and characteristics of before and after school care programs. Chapter 1 programs that extend learning time is a particular focus.	RMC Research Corporation Hampton, New Hampshire (LC 89 0510 01)	10-01-1989	10-30-1992	Kurtenbach
1989 1990 1991	$1,483,000 $500,000 $211,990	Observations in Child Care Centers This study, which involves observations in child care centers, is analyzing the range of experiences in extrafamilial care for preschool children. A substudy of Chapter 1 programs is examining child outcomes as well as the quality of the early childhood education offered. A modification identified additional Chapter 1 sites and uses an intensive observation instrument.	Development Associates, Inc. Arlington, Virginia (LC 89 0980 01)	10-01-1989	12-31-1992	Farquhar
1990 1991	$114,431 $74,000	Integration of Education and Human Services for Preschool and Elementary Children at Risk This study provides information on the effectiveness of various models of services integration in assisting at-risk children and their families, by identifying a range of models, and analyzing existing examples based in schools, housing projects, and community centers.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	09-01-1990	03-30-1992	Garcia

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1989 1990 1991	$2,367,198 $99,434 $681,234	Design of the National Longitudinal Study of Chapter 1 (Prospects) This study is the first stage of the National Longitudinal Study of Chapter 1. The Longitudinal Study will assess students' success through "significant participation" in Chapter 1. Success will be measured in terms of basic and higher order skills; avoidance of behavioral problems such as delinquency, truancy and dropping out; employment and earnings; and enrollment in postsecondary education. In the design stage, the contractor developed plans for selecting sites and students, data collection, and analysis. The special strategies component of the Longitudinal study is also identifying exemplary practices to serve as models for Chapter 1 programs throughout the Nation. The study is being conducted in two stages. The second stage, the study's implementation, involves the data collection and analyses.	Abt Associates, Inc. Cambridge, Massachusetts (LC 89 0270 01)	09-01-1990	06-30-1991	Scott
1991	$4,606,488	Implementation of the Chapter 1 Longitudinal Study (Prospects) The purpose of the contract is to respond to the legislative mandate to assess the impact of significant participation in Chapter 1 programs on student and young adult outcomes. The data collection activities began in the 1990-91 school year. In addition to surveying and collecting outcome data on Chapter 1 participants and comparable students in public and private schools, teachers, principals, administrators and parents will also be surveyed.	Abt Associates, Inc. Cambridge, Massachusetts (LC 91 0290 01)	04-01-1991	09-30-1997	Scott
1991	$98,789	Followup State Survey of Chapter 1 Programs This followup survey of States will collect 1991-92 school year data on implementation of P.L. 100-297 at the State level.	Policy Studies Associates, Inc. Washington, D.C. (LC 89 0890 01)	04-01-1991	10-30-1992	Hardcastle

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	End Date	Officer
1991	$402,036	Studies of Chapter 1 Services to Nonpublic School Students A series of studies are examining issues of student eligibility, participation, service delivery, costs and relationships between private and public school officials to inform the reauthorization of Chapter 1. The studies expand upon information collected in the last assessment of Chapter 1 to report on the impact of the Felton decision and the 1988 provisions, including capital expenditures.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	08-01-1991	10-30-1992	Bogart
1990	$103,527	Teaching Advanced Skills to Disadvantaged Students This task order examines strategies borrowed from research on teaching (gifted and talented) students, that can be applied to instructing disadvantaged students in improving higher order skills.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	05-01-1990	05-31-1991	Coates
1988 1990	$75,000 $144,761	Study of Provision of Chapter 1 Services to Limited English Proficient (LEP) Students This task order gathers and analyzes data on the provision of services under Chapter 1 to LEP students. Survey form and protocols were developed under a previous task order.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	02-01-1990	05-31-1991	Moguel
1988 1990	$96,000 $150,194	Chapter 1 Dropout and Secondary School Programs The task order gathered detailed data on the design and implementation of services provided to secondary school students under Chapter 1. Survey forms and protocols were developed under a previous task order.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	02-01-1990	03-30-1991	deKanter
1987 1989 1990 1991	$55,000 $126,000 $56,148 $60,000	Preparation of Compensatory Education Sourcebook, Volume VI: Project Profiles This task order supports the preparation of abstracts based on applications selected through the Chapter 1 recognition program. The abstracts are published annually in the Compensatory Education Sourcebook.	Westat, Inc. Rockville, Maryland (LC 89 0150 01)	10-01-1989	09-30-1994	Greenfield

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1991	$75,697	Mandated Study of Funds Distribution This mandated study supports analyses of funds allocation in Chapter 1 and other programs as required by P.L. 100-297. The study examines funds distribution by the characteristics of the States and districts and the feasibility of providing breakdowns by Congressional district. It also examines alternative funding formulae, poverty measures, and fiscal effort indicators.	Westat, Inc. Rockville, Maryland (LC 89 0150 01)	09-01-1989	06-30-1991	Stullich
1990 1991	$184,085 $15,000	International Study of Children and Youth at Risk The identification of effective practices for at-risk students is a component of an international study of Children and Youth At-Risk being conducted by OECD with participation from OPBE/PES. The focus of the PES study is to (1) document the educational deficiencies to be overcome in the U.S., (2) compare our Nation's experience in compensatory education with those of other countries, and (3) highlight effective strategies for serving the educationally at-risk population in Chapter 1 and related programs. Funds were used to support OECD planning activities for the study and for a U.S.-based international conferences in FY1990 and FY 1991 and the preparation of monographs in FY1991.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	12-01-1990	12-31-1992	Scott
1991	$113,452	Lessons for School Reform This task order builds on the OECD Children and Youth at Risk project by continuing to conduct case studies of effective programs. The focus of the study are projects that combine a centralized government's policy on goals, curriculum and assessment with local autonomy over the implementation of reform and management of resources.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	10-01-1991	03-30-1993	Scott

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	End Date	Officer
1990	$45,209	Revision to Volume I of Compensatory Education Sourcebook This task order researched and proposed revisions to Volume I of Compensatory Education Sourcebook.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	10-01-1990	09-30-1991	Coates
1989 1990	$561,200 $611,450	Chapter 1 Rural Technical Assistance Centers - Region 1 Supports annual Chapter 1 to Rural Region 1.	RMC Research Corporation Hampton, New Hampshire (LC 89 0860 01)	09-30-1989	06-30-1991	Bogart
1989 1990	$560,742 $662,442	Chapter 1 Rural Technical Assistance Centers - Region 2 Supports annual Chapter 1 to Rural Region 2.	Advanced Technology Indianapolis, Indiana (LC 89 0860 02)	09-30-1989	06-30-1991	Bogart
1989 1990	$560,023 $581,479	Chapter 1 Rural Technical Assistance Centers - Region 3 Supports annual Chapter 1 to Rural Region 3.	Advanced Technology Decator, Georgia (LC 89 0860 03)	09-30-1989	06-30-1991	Hardcastle
1989 1990	$560,934 $685,991	Chapter 1 Rural Technical Assistance Centers - Region 4 Supports annual Chapter 1 to Rural Region 4.	Research and Training Associates, Inc. Overland Park, Kansas (LC 89 0860 04)	09-30-1989	06-30-1991	Hardcastle
1989 1990	$560,600 $606,189	Chapter 1 Rural Technical Assistance Centers - Region 5 Supports annual Chapter 1 to Rural Region 5.	RMC Research Corporation Denver, Colorado (LC 89 0860 05)	09-30-1989	06-30-1991	Bogart

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1989 1990	$560,538 $606,290	Chapter 1 Rural Technical Assistance Centers - Region 6 Supports annual Chapter 1 to Rural Region 6.	Northwest Regional Education Laboratory Portland, Oregon (LC 89 0860 06)	09-30-1989	06-30-1991	Hardcastle
1989 1990	$102,102 $113,015	Chapter 1 Rural Technical Assistance Centers - Region 7 Supports annual Chapter 1 to Rural Region 7.	Northwest Regional Education Laboratory Portland, Oregon (LC 89 0860 07)	09-30-1989	06-30-1991	Hardcastle
1989 1990	$97,952 $80,947	Chapter 1 Rural Technical Assistance Centers - Region 8 Supports annual Chapter 1 to Rural Region 8.	RMC Research Corporation Honolulu, Hawaii (LC 89 0860 08)	09-30-1989	06-30-1991	Hardcastle
1989 1990	$173,229 $142,091	Chapter 1 Rural Technical Assistance Centers - Region 9 Supports annual Chapter 1 to Rural Region 9.	The Regional Laboratory for Educational Improvem Hato Rey, Puerto Rico (LC 89 0860 09)	09-30-1989	06-30-1991	Bogart
1989 1990	$214,920 $359,122	Chapter 1 Rural Technical Assistance Centers - Region 10 Supports annual Chapter 1 to Rural Region 10.	Research and Training Associates, Inc. Overland Park, Kansas (LC 89 0860 10)	09-30-1989	06-30-1991	Hardcastle
1991	$663,434	Chapter 1 Technical Assistance Centers - Region A Supports annual Chapter 1 Region A TAC.	RMC Research Corporation Hampton, New Hampshire (LC 91 0270 01)	07-01-1991	06-30-1996	Bogart

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

	Funding			Project		
FY	Amount	Description of Contract	Contractor and Number	Start Date	End Date	Officer
1991	$755,006	Chapter 1 Technical Assistance Centers - Region B Supports annual Chapter 1 Region B TAC.	PRC, Inc. Indianapolis, Indiana (LC 91 0270 02)	07-01-1991	06-30-1996	Bogart
1991	$493,090	Chapter 1 Technical Assistance Centers - Region C Supports annual Chapter 1 Region C TAC.	Education Testing Service Tucker, Georgia (LC 91 0270 03)	07-01-1991	06-30-1995	Hardcastle
1991	$670,200	Chapter 1 Technical Assistance Centers - Region D Supports annual Chapter 1 Region D TAC.	Research and Training Associates, Inc. Overland Park, Kansas (LC 91 0270 04)	07-01-1991	06-30-1995	Hardcastle
1991	$453,870	Chapter 1 Technical Assistance Centers - Region E Supports annual Chapter 1 Region E TAC.	RMC Research Corporation Denver, Colorado (LC 91 0270 05)	07-01-1991	06-30-1994	Bogart
1991	$488,600	Chapter 1 Technical Assistance Centers - Region F Supports annual Chapter 1 Region F TAC.	Farwest LAB San Francisco, California (LC 91 0270 06)	07-01-1991	06-30-1994	Hardcastle
1991	$636,453	Chapter 1 Rural Technical Assistance Centers - Region 1	RMC Research Corporation Portsmouth, New Hampshire (LC 91 0280 01)	07-01-1991	06-30-1996	Bogart

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1991	$683,453	Chapter 1 Rural Technical Assistance Centers - Region 2	PRC, Inc. Indianapolis, Indiana (LC 91 0280 02)	07-01-1991	06-30-1996	Bogart
1991	$682,451	Chapter 1 Rural Technical Assistance Centers - Region 3	Educational Testing Service Tucker, Georgia (LC 91 0280 03)	07-01-1991	06-30-1995	Hardcastle
1991	$718,663	Chapter 1 Rural Technical Assistance Centers - Region 4	Research and Training Associates, Inc. Overland Park, Kansas (LC 91 0280 04)	07-01-1991	06-30-1995	Hardcastle
1991	$637,378	Chapter 1 Rural Technical Assistance Centers - Region 5	RMC Research Corporation Denver, Colorado (LC 91 0280 05)	07-01-1991	06-30-1994	Bogart
1991	$636,693	Chapter 1 Rural Technical Assistance Centers - Region 6	RMC Research Corporation Portland, Oregon (LC 91 0280 06)	07-01-1991	06-30-1994	Hardcastle
1991	$112,665	Chapter 1 Rural Technical Assistance Centers - Region 7	RMC Research Corporation Portland, Oregon (LC 91 0280 07)	07-01-1991	06-30-1994	Hardcastle

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

	Funding			Project		
FY	Amount	Description of Contract	Contractor and Number	Start Date	End Date	Officer
1991	$114,677	Chapter 1 Rural Technical Assistance Centers - Region 8	RMC Research Corporation Portland, Oregon (LC 91 0280 08)	07-01-1991	06-30-1994	Hardcastle
1991	$167,936	Chapter 1 Rural Technical Assistance Centers - Region 9	PRC Inc. Puerto Rico (LC 91 0280 09)	07-01-1991	06-30-1994	Bogart
1991	$321,671	Chapter 1 Rural Technical Assistance Centers - Region 10	Research and Training Associates, Inc. Overland Park, Kansas (LC 91 0280 10)	07-01-1991	06-30-1996	Hardcastle
1990 1991	$312,750 $561,819	Chapter 1 Program Improvement Initiative This initiative supports targeted, intensive technical assistance to nine Chapter 1 program improvement sites. These demonstrations will provide guidance for replication of significant efforts at Chapter 1 program improvement.	Five Technical Assistance Centers (LC 90 1240 01)	05-01-1990	05-31-1993	Hardcastle
1989 1990 1991	$190,000 $202,535 $200,000	Case Studies of Minnesota's Open Enrollment Option This task order continues the Department's participation in a jointly sponsored evaluation of the Minnesota open enrollment options program. The work involves case studies of specific districts or schools and focus on options for at-risk children.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	09-01-1989	09-30-1992	Stullich

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1990 1991	$804,715 $2,000	Magnet Schools Study This study is collecting nationally descriptive data on magnet schools funded by ED as well as other magnet programs. It expands upon the 1983 Lowry Associates study of magnet schools and investigate the effectiveness of these schools in improving education outcomes, racial balance, and student/teacher attitudes.	American Institutes for Research Washington, D.C. (LC 90 0430 01)	09-01-1990	09-30-1994	Stullich
1988 1989 1991	$771,000 $940,000 $41,680	National Descriptive Study of the Chapter 1 Migrant Education Program Supplement to ongoing study to collect more detailed data on the numbers of migrant children also served by the Chapter 1 basic program.	Research Triangle Institute, Inc. Research Triangle Park, North Carolina (LC 88 0250 01)	09-01-1988	12-31-1991	Bogart
1990	$224,898	Analysis of Migrant Summer Term Projects & Funding Patterns This study examines the costs associated with different strategies for service delivery in Migrant summer term projects in order to recommend possible changes in ED's funding formula.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	05-01-1990	10-30-1991	Bogart
1987 1988 1989 1990 1991	$265,000 $410,000 $375,000 $348,982 $400,000	Technical Analyses in Elementary and Secondary Education Analyses based on NELS-88's first year data from its 8th grade cohort on the extent of participation in gifted/talented programs correlated with other variables such as: sex, racial/ethnic, public/private school attendance, achievement, self-concept and attitudes about education, plans for education and career, etc. OPBE supported the sample augmentation and questionnaire items on gifted and talented students in FY 1987. In FY 1991, the impact of transfers of gifted and talented students into specialty schools or tracks would be analyzed.	Westat, Inc. Rockville, Maryland (LC 89 0150 01)	10-01-1989	09-30-1994	Coates

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1990	$233,503	Evaluation of the Secondary Schools Basic Skills Demonstration Assistance Program This study is analyzing pre- and posttest achievement data on participants in the 45 funded projects. The effectiveness of both mentoring and peer tutoring approaches to improving basic skills will be documented. Case studies have been conducted of 10-15 exemplary program sites. A report will be prepared for broad dissemination.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	10-10-1990	01-31-1992	Coates
1989 1991	$287,000 $144,734	Identifying Model Strategies In Bilingual Education This study consists of the development of handbooks on effective strategies for Instruction, Staff Development, and Parent Involvement in Bilingual Education. Information for these handbooks will be developed through literature reviews and case studies.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	09-01-1991	09-30-1992	Coates
1991	$463,296	Descriptive Study of Services to LEP Students This study examines Title VII, State, and locally-supported programs of bilingual education in the following areas: identification, referral and exit procedures; follow-up procedures on exited students; types of services, including ESL and developmental programs; staffing; costs of services; and the influence of federal and State laws and regulations governing services parental involvement, and program accountability.	Development Associates, Inc. Arlington, Virginia (LC 91 0030 01)	01-01-1991	12-31-1992	Moguel
1991	$89,295	Evaluation of the Academic Excellence Program This study examines the success of the projects supported under the Title VII Academic Excellence Program in terms of such measures of effectiveness as the number of replications facilitated.	Policy Studies Associates Washington, D.C. (LC 89 0890 01)	09-01-1991	09-30-1995	Coates
1990 1991	$198,972 $1,028	National Academy of Sciences (NAS) Review of the National Longitudinal Study and the Immersion Study This sole source procurement reviews the methodology and findings of ED's two recently completed national studies by a "blue ribbon panel" of research experts selected by NAS.	National Academy of Sciences Washington, D.C. (LC 90 1000 01)	09-30-1990	06-30-1992	Moguel

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	End Date	Officer
1990 1991	$100,000 $400,000	Descriptive Data on LEP students from the National Longitudinal Study of Chapter 1 Funds augment the student sample of the Chapter 1 Longitudinal Study in order to oversample an additional 1,000 LEP students each in grades 1 and 3. Data on this augmented sample will be collected and analyzed longitudinally over four years.	Abt Associates, Inc. Cambridge, Massachusetts (LC 91 0290 01)	04-01-1991	09-30-1997	Scott

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

MULTILEVEL AND SPECIAL POPULATIONS

	Funding			Project		
FY	Amount	Description of Contract	Contractor and Number	Start Date	End Date	Officer
1991	$199,844	Education Opportunities for the Deaf This study examines the access to and use of postsecondary institutions by deaf students; and assesses the outcomes of deaf students who attend post-secondary programs.	Pelavin Associates, Inc. Washington, D.C. (LB 91 0850 01)	04-01-1991	09-30-1991	Snyderman
1991	$79,894	Review of National Volunteer Organizations Volunteers play an important role in adult education programs. There are two major national organizations that coordinate and train volunteers. This study provides a descriptive review of their efforts and provide recommendations for future studies in this area.	WESTAT, Inc. Rockville, Maryland (LC 89 0150 01)	04-01-1991	08-30-1992	Coates
1991	$199,960	State Evaluation Assistance Project Increased evaluation requirements for State and local adult education programs were included in the 1988 amendments to the Adult Education Act. This project developed models for State and local evaluations and providing training to State adult education directors.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	04-01-1991	03-01-1991	Pendleton
1991	$136,905	Design Guidance for Effectiveness Studies This project will provide guidance on methodological concerns for evaluating the effectiveness of adult education programs and identifying model programs. The project involves consultation with researchers, evaluation methodologists, policy-makers, and adult education administrators and practitioners.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	06-01-1991	07-01-1992	Pendleton

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MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project		Officer
				Start Date	End Date	
1991	$99,896	Corrections Survey Field Test The purpose of this study is to refine a draft instrument developed from recommendations of a panel of correction education professionals on data items for a national survey and conduct the field test of the survey form. The national survey will collect data on vocational and adult education programs from Federal and State prisons, large jails, and juvenile facilities, as well as education-related data on inmates and would provide information on the extent to which inmates in corrections institutions are participating in education programs. It will focus on youths eligible for public secondary schooling and for adults eligible for vocational or adult education.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	09-01-1991	09-30-1992	Pendleton
1991	$76,521	Survey of Personnel Shortages in Vocational Rehabilitation This study will inform a mandated report on detail how RSA training funds are allocated by professional discipline and other programs areas, and report survey findings on personnel shortages. The survey will identify personnel shortages and training needs among professionals serving rehabilitation clients. Professions will be identified in which personnel shortages stem from a shortage of trained professionals rather than from other factors such as competition from private providers of rehabilitation services and other sectors, hiring freezes or management difficulties.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	10-01-1991	08-30-1992	Pendleton

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MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Project Officer
1990	$44,922	Model Forms for Substance Use Education This study developed model drug data collection forms, in response to Congressional request, for voluntary use by local programs. Two sets of forms have been developed; one set for schools and one set for community-based organizations. The use of standardized data collection forms will: enable programs to share information with one another on promising practices; help to identify exemplary substance use education and prevention programs; and assist state coordinators and regional training centers in providing technical assistance to programs and to systematically collect data about substance use education and prevention programs.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	04-01-1991	09-30-1991	Garcia
1990	$119,554	Review of the Workplace/Literacy Partnership Program This study profiled the National Workplace Literacy Program and highlighted selected workplace literacy programs funded during the program's first year of operation. Several components were noted as being associated with effective workplace literacy projects-active involvement by project partners in all aspects of the project; active and ongoing involvement by employees in conducting literacy task analyses and determining worker literacy levels; systematic analysis of on-the-job literacy requirements; and development of instructional materials related to literacy skills required on the job. Recommendations offered to improve program effectiveness included requiring workplace literacy projects to collect data; lengthening the grant period; developing procedures for disseminating information about successful projects; requiring projects to evaluate effectiveness; and supporting the development of instruments to assess participant literacy levels that are geared for the workplace.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	04-01-1991	09-30-1991	Pendleton

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MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Project Officer
1989	$259,425	Joint Study of Federal Funding and Services for Adult Education This congressionally-mandated study has two phases. The first phase collected existing Federal data showing the funding sources and services available for all Federal adult education programs. The second phase addressed the problems of interagency coordination of adult education programs. It employed a case study methodology to identify and analyze exemplary local projects.	Cosmos Corporation Washington, D.C. (LC 89 9580 01)	09-01-1989	06-30-1992	Vespucci
1990 1991	$495,000 $1,903,052	National Evaluation of Adult Education Programs In FY 1990, the Department launched a national longitudinal study of adult education programs and participants. Funds have been used to conduct a universe survey of service providers and to collect base-year data on a representative sample of such providers. Clients entering the program over a 1-year period are being followed for up to 18 months to obtain comprehensive measures of the intensity and duration of participation. Program outcomes are being evaluated through the application of benchmark data on costs and learning gains, and by comparison of the service population to independent, Census-based estimates of the target population. Key findings will be presented in interim reports in 1992 and 1993. The final report will be available in 1994.	Development Associates Arlington, Virginia (LC 90 0650 01)	08-14-1990	08-14-1994	Barnes
1989 1991	$1,393,331 $200,368	Evaluation of Projects Funded by the School Dropout Demonstration Assistance Program This study is evaluating dropout prevention and re-entry demonstration projects funded in FY 1988 by the School Dropout Demonstration Assistance Program. The study will provide a comprehensive description of the program and its implementation, as well as data on student outcomes. The evaluation is using matched comparison groups to assess student outcomes. Preliminary information from this study was used to design the new model-testing dropout prevention program and study in FY 1991.	American Institutes for Research Palo Alto, California (LC 89 0610 01)	08-18-1989	08-18-1993	Pendleton

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MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	End Date	Officer
1991	$1,463,981	Evaluation of Restructuring and Targeted Dropout Prevention Projects	Mathematica, Inc.	09-30-1991	09-30-1996	Pendleton
		This study is evaluating two models of dropout prevention programs -- (1) restructuring and school reform in a cluster of elementary, junior, and senior high schools with extremely high dropout rates and (2) comprehensive programs targeted on at-risk youth. The evaluation of the cluster restructuring model is based on a comparison of educational outcomes before and after restructuring and a comparison of educational outcomes for students in restructuring schools and a comparison group of students in non-restructuring schools. The evaluation of the comprehensive targeted model is based on a comparison of educational outcomes for program participants and a comparison group. Eligible participants are being randomly assigned to treatment and no-treatment groups.	Princeton, New Jersey (LC 91 0150 01)			
1991	$150,000	IHE Survey of Prevention Policies and Programs	Interagency Transfer to NSF	12-01-1991	12-01-1992	Richards
		This survey will describe changes in and effects of IHE alcohol and other drug policies and programs which have taken place as a result of the certification requirements in the Higher Education Act Sec. 1213.	(EL 91 02NSF)			
1988	$538,000	DFSCA Implementation Study	Research Triangle Institute	10-01-1988	01-31-1992	Richards
1989	$525,000					
1991	$24,981	This is a descriptive study of State and local practices in planning, operating, and evaluating DFSCA prevention programs. The study consists of 4 nationally representative surveys and case studies of 10 States.	Research Triangle Park, North Carolina (LC 88 0280 01)			
1991	$179,901	Technical Support for DFSCA Prevention Program	WESTAT, Inc.	03-01-1991	09-30-1992	Richards
		Study activities include secondary analyses of national data on prevalence of alcohol and other drug use by children and adolescents and review and synthesis of empirical data on promising and effective programs. The findings from this project will be used in a mandated report to Congress.	Rockville, Maryland (LC 89 0150 01)			

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MULTILEVEL AND SPECIAL POPULATIONS

	Funding			Project		
FY	Amount	Description of Contract	Contractor and Number	Start Date	End Date	Officer
1989 1990	$465,000 $530,310	Study of Promising Drug Prevention Programs This study is examining drug and alcohol education and prevention programs which have been either sponsored by the Federal Activities Grants Program or identified in the Drug-Free Schools Recognition Program. The study will describe successful implementation of components of comprehensive school- and community- based prevention programs.	Aguirre International San Mateo, California (LC 89 0490 01)	10-01-1989	06-30-1992	Richards
1991	$99,886	Prevention Programs for Native American Children and Youth In conjuction with the "Indian Nations At Risk" study, this descriptive study examined prevention services provided to Native American children and youth in several school-based programs funded by DFSCA and in a limited number of community-based programs. The study also examined BIA administration of ED's prevention programs for Indian Youth.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	02-01-1991	04-30-1992	Garcia
1990 1991	$250,000 $867,676	Outcomes of DFSCA State and Local Programs This study is examining the extent to which programs funded under the Act help to reduce and prevent student drug abuse. This is a follow-up to the study of State and local program operations.	RTI Research Triangle Park, North Carolina (LC 90 0700 01)	09-30-1990	09-30-1995	Richards
1989 1990	$10,000 $90,681	Evaluation Handbook This project is developing a handbook to guide evaluations of drug prevention programs. The book will provide guidance on developing empirical measures of outcomes and designing evaluations.	Policy Studies Associates Washington, D.C. (LC 90 0940 01)	08-01-1990	12-01-1992	Richards
1990	$349,921	Evaluation of Teacher Training for Substance Use Education and Prevention This study is examining training programs for teachers and other education personnel responsible for substance use education and prevention.	STRA, Inc. Arlington, Virginia (LC 90 0960 01)	09-01-1990	08-30-1992	Vespucci

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FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	End Date	Officer
1989 1990 1991	$296,000 $1,052,121 $574,427	Even Start Evaluation This Congressionally-mandated study is evaluating the implementation and impact of projects funded under the Even Start Program. Even Start provides a coordinated set of services for families, including adult education, early childhood education, and parenting training. The study will provide comprehensive data on participants, services, coordination, implementation, and staff training as well as an in-depth assessment in selected sites. The final report to Congress is due in September 1993.	ABT Associates Cambridge, Massachusetts (LC 90 0620 01)	01-17-1990	11-30-1993	Rhett
1990 1991	$49,545 $49,746	Evaluation of the Chelsea Project: Teacher Survey This teacher survey is part of an on-going assessment of Boston University's management of the Chelsea (Massachusetts) school system. Study findings indicate that while many Chelsea teachers initially opposed the Chelsea-BU agreement, teachers were mixed in their views of BU's impact on the schools 18 months after BU's arrival: some were optimistic about BU's involvement while others remained skeptical. Teachers who were the most positive about BU's impact on the Chelsea schools were those who had participated in school-related activities throughout the year. Although BU had been able to implement some changes in the Chelsea schools, the major educational problems that were present before BU's arrival, (lack of parent involvement and community support, inadequate salary scale, and deteriorating physical facilities) continued to plague the school system a year and a half later. Admittedly, such educational problems require more than 18 months to devise a cure. Nevertheless, ratings of conditions within the school system indicated some improvements in the areas of inservice training, dropout prevention activities, and curriculum development.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	04-15-1990	11-01-1991	Furey

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MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	End Date	Officer
1991	$99,753	Technical Support on Accountability Initiative This task is providing technical support to MSPD in the conduct of the Department's accountability initiative. MSPD has responsibility for the following program areas: adult education, vocational education, special education, and vocational rehabilitation. The technical support includes review and synthesis of grantee interim and final reports and review and analysis of program data.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	03-01-1991	04-30-1992	Thompson-Hoffman
1989 1990 1991	$423,000 $228,359 $239,195	Multilevel Technical Support Center The Multilevel Technical Support Center provides technical support to MSPD on a wide range of Secretarial initiatives and national education policy issues. The support center performs such activities as: secondary data analysis, literature review and syntheses, evaluation studies, and preparing issue briefs and background papers.	Pelavin Associates, Inc. Washington, D.C. (LC 89 0880 01)	09-30-1989	09-30-1993	Pendleton

1989 1990	$473,000 $617,546	Evaluation of the Vocational Education Dropout Prevention Demonstration Projects This study is evaluating dropout prevention and reentry demonstration projects funded under the Perkins Act in an effort to identify promising vocational education approaches to encourage at-risk students to remain in school and for dropouts to return and complete their education. The evaluation is based on a comparison of achievement outcomes for program participants with a comparison group of non-participants. Comparison groups have been chosen using random assignment and matching.	RMC Research Corp Mountain View, California (LC 89 0020 01)	02-01-1989	02-01-1993	Pendleton

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During Fiscal Year 1991

MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	End Date	Officer
1990	$499,573	Evaluation of the Vocational Education High Technology Demonstration Projects The high technology demonstration projects are intended to develop and demonstrate collaborative programs between the private sector and public agencies to train students in high technology occupations. This study will evaluate these programs, including assessing the impact of Federal funding on building long-lasting collaborative arrangements. This study will assess the extent project designs are amenable to rigorous evaluation, the extent those designs have been successfully implemented, and the extent project costs are reasonable in relation to actual or projected outcomes.	Cosmos Corp Washington, D.C. (LC 90 0060 01)	03-15-1990	02-28-1992	Furey

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

POSTSECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Project Officer
1991	$121,566	Pell Model Maintenance/Enhancement Maintain and execute the model, make routine modification to accomodate proposals, and anhance the when the need arises.	Pelavin and Associates Washington, D.C. (LB 90080001)	10-01-1990	09-30-1992	Kingsley
1990 1991	$129,669 $50,000	Retention and Completion Practices This study uses nine case studies to examine services and support provided by four-year institutions to help students continue and complete their courses of study.	The Assignment Group Chevy Chase, Maryland (LC 90 0490 01)	10-01-1990	12-31-1991	Maxwell
1990	$226,197	Evaluation of Gallaudet University This study examines the financing of Gallaudet University with particular attention to the institution's accounting and budgeting procedures and systems.	Mathtech, Inc. Princeton, New Jersey (LC 90 1090 01)	09-28-1990	05-31-1992	Berls
1990 1991	$260,000 $28,901	Evaluation of Howard University The first part of this study compared expenditures and revenues at Howard University to those at other higher education institutions. The second stage is an overall management review of Howard University's operations, including administration, tuition policies, and facilities.	Mathtech, Inc. Princeton, New Jersey (LC 90 1090 01)	09-28-1990	05-31-1992	Berls
1991	$152,894	Higher Education Surveys This is an ongoing project that provides the Department with policy-relevant, quick response surveys involving a sample of institutions of higher education.	Westat, Inc. Rockville, Maryland (NSF Contract)	10-01-1985	09-01-1993	Berls

Evaluation Contracts Active in OPBE
During Fiscal Year 1991

POSTSECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1990 1991	$1,000 $1,500	Higher Education Surveys Established to conduct brief surveys of higher education institutions. The panel consist of approximately 1100 insitutions.	Westat, Inc. Rockville, Maryland (SRS8520082)	09-30-1985	02-28-1995	White/Berls
1990 1991	$200,000 $200,000	Evaluation of Quality Control Studies In this study, the National Academy of Science will evaluate ED's quality control approach for student aid and compare ED efforts to activities of other departments. They will also examine policy implications of QC results.	National Academy of Sciences Washington, D.C. (LC 90 0510 01)	09-01-1990	03-30-1993	Goldenberg
1990 1991	$59,848 $54,932	GSL Cost Estimation Model Revised and improved a model that computes the flow of funds given different assumptions regarding the operation of the program and the economic environment.	Pelavin and Associates Washington, D.C. (LB 90 0800 01)	10-01-1990	09-30-1992	Brown
1989 1990	$300,231 $224,998	Consumer Rights in Postsecondary Vocational/Technical Education This study focuses on students enrolled in vocational technical programs at community colleges and proprietary institutions. A report on state practices related to outcome measures has been released. Work is continuing on the feasibility of using the Unemployment Insurance system to collection information on outcomes of vocational/technical programs.	Research and Evaluation Associates, Inc. Washington, D.C. (LC 89 0010 01)	09-01-1989	09-30-1992	Goodwin
1990	$119,651	Upward Bound and Student Support Services Special Technical Analysis: Impact of Upward Bound and Student Support Services incolves secondary analysis of High School and Beyond data and NLS 72 data to describe characteristics of students who participate in Upward Bound or receive supplemental services in college, and assess effects on college access and retention.	Westat, Inc. Rockville, Maryland (LC 89 0820 01)	05-25-1990	02-28-1991	Goodwin

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POSTSECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Project Officer
1991	$94,080	Indicators of Program Quality in Proprietary Schools We seek to answer four questions, 1) What are the basic indicators of program quality for proprietary schools? 2) To what extent are these or other indicators of program quality reflected in accreditation, certification, and licensing by which schools become eligible to participate in federal student aid programs? 3) Are there objective, quantifiable, and relatively non-intrusive measures for accepted indicators of quality? 4) What are the pros and cons of various performance-based policy options?	Westat, Inc. Rockville, Maryland (LC 89 0820 01)	03-14-1991	07-14-1991	Goodwin
1991	$99,022	Accountability Issues This project provides analysis and support for the Administration's accountability initiative, which is part of America 2000. It focuses on developing accountability systems for grant programs and improving management of the student loan programs, including an assessment of data needs.	WESTAT, Inc. Rockville, Maryland (LC 89 0820 01)	06-01-1991	06-30-1992	Berls
1990 1991	$79,575 $89,680	Integrated Cross-Program Model The model will make it possible for the Department to estimate costs and distributional implications of Title IV financial assistance programs and proposed changes, taking into account interactions among programs. Currently revising model to incorporate new data from the 1990 National Postsecondary Aid Study.	WESTAT, Inc. Rockville, Maryland (LC 89 0820 01)	09-01-1989	09-01-1993	Goldenberg
1989 1990 1991	$147,391 $188,000 $239,516	Special Technical Analysis for Postsecondary Education This project provides support for various postsecondary education analyses, especially high priority, quick turnaround work.	WESTAT, Inc. Rockville, Maryland (LC 89 0820 01)	09-30-1989	09-01-1992	Berls

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POSTSECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1991	$199,274	Academic Preparation for College This study involves a literature review, interviews, case studies, and special analyses related to the activities and programs of colleges and universities in helping students to be academically prepared for higher education. State policies and programs are also being examined.	Westat, Inc. Rockville, Maryland (LC 89 0820 01)	10-01-1991	08-28-1992	Henschel
1990 1991	$1,302,000 $974,959	Effectiveness of Student Support Services Program Through a longitudinal survey of program participants and disadvantaged students who did not receive student support services, this study assesses the overall effectiveness of Federal aid and the relative effectiveness of alternative strategies on college retention and completion. The study also includes case studies and a project director survey.	Westat, Inc. Rockville, Maryland (LC 90 0530 01)	09-01-1990	09-01-1993	Goodwin
1990 1991	$138,574 $143,770	Study of Demonstration Project on Income Contingent Loans (ICLs) The study analyzes the feasibility of ICLs at 10 demonstration sites through case studies and surveys of ICL borrowers and other students who did not receive ICLS.	Pelavin Associates Washington, D.C. (LC 90 0580 01)	09-27-1990	09-27-1992	Zwillinger
1991	$99,823	Postsecondary Management Accountability Initiative Study of issues and problems related to the quality of data in the GSL program.	MathTech Princeton, New Jersey (LC 90 1090 01)	10-01-1991	08-15-1992	Morrissey
1991	$325,999	Quality of Postsecondary Education This project examines different aspects of the quality of postsecondary education, including high school preparation, faculty quality, college teaching, remediation, assessment, and admissions standards.	Mathtech, Inc. Princeton, New Jersey (LC 90 1090 01)	05-01-1991	09-01-1992	Henschel

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POSTSECONDARY EDUCATION

	Funding			Project		
FY	Amount	Description of Contract	Contractor and Number	Start Date	End Date	Officer
1991	$215,452	Accreditation and State Oversight of Institutional Quality This project examines state practices in licensing and overseeing vocational programs through case studies of several states and accrediting agencies. The purpose of this project is to determine ways to strengthen the role of accreditating agencies and the states in ensuring quality.	Mathtech, Inc. Princeton, New Jersey (LC 90 1090 01)	10-01-1991	10-16-1992	Zwillinger
1991	$117,600	Postsecondary Institutional Analysis Support Center Quick Turnaround Support	Mathtech, Inc. Princeton, New Jersey (LC 90 1090 01)	08-27-1991	09-30-1993	Berls
1990 1991	$550,000 $450,000	Assessment of Federal Postsecondary Vocational Education and Training Through joint study with other Federal agencies, The National Academy of Sciences is examining Federal strategies and programs that provide postsecondary vocational education and training.	National Academy of Sciences Washington, D.C. (LC 90 1100 01)	09-01-1990	03-01-1993	Goodwin
1991	$347,334	Evaluation of Implementation of Default Initiative This study examines the effectiveness of recent legislative and regulatory default reduction initiatives.	The Macro, Inc. (LC 91 0670 01)	09-01-1991	09-30-1993	Morrissey
1991	$399,753	Student Literacy Corps This study examines program implementation and the effects of tutoring. It will look for leesons learned in this program that would be helpful in setting up future service/mentoring programs at colleges and universities.	Policy Studies Associates Washington, D.C. (LC 91 1190 01)	09-01-1991	09-01-1993	Henschel

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